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THE LEADERSHIP STYLES OF SELECTED
WISCONSIN ELEMENTARY PRINCIPALS

by

Paul Jeffrey Mack

A Dissertation Submitted to the Faculty of the Graduate School
of Loyola University of Chicago in Partial Fulfillment
of the Requirements for the Degree of
Doctor of Education

January

1993

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VITA

The author, Paul Jeffrey Mack, is the son of Joseph and Rosalie Mack. He was born in 1945, in Pittsburgh, Pennsylvania.

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CHAPTER I

INTRODUCTION

In 1982, following closely on the heels of the attention given to the national studies of education, the Department of Education established its Recognition Program, to identify those factors which contribute to effective schooling practices. In its first three years, the program focused solely on secondary schools. In 1985, when elementary schools were included in the program, elementary education in America enjoyed a banner year.

A. The Elementary School Recognition Program

Then-Secretary of Education William Bennett declared 1985 to be the Year of the Elementary School. Two publications were issued about that year which bear on the subject of this exploratory study. One addressed the condition and direction of elementary education in our country, with policy recommendations.¹ The other publication specifically addressed the first 212 elementary schools which participated in the

¹ William Bennett, First Lessons: A Report on Elementary Education in America (Washington, D.C.: U.S. Government Printing Office, September 1986).

program. These 212 were recognized as "exemplary" elementary schools in the United States, and "themes of success" common to all the schools were identified.²

The goals of the School Recognition Program are to honor schools and educators "for their ability to establish and maintain exemplary programs, policies and practices...."³ Anticipated outcomes for a recognized school include the following: to increase community involvement in the schools, to improve staff training and qualifications, to increase the likelihood of a demonstration grant approval, to increase the likelihood of becoming a model/magnet school, and to improve the school district's bond rating.⁴

The program's very existence acknowledges the important role of elementary schools in establishing patterns and expectations for later educational success. Local educational agencies with jurisdiction over elementary schools nominate those schools which meet several criteria, including major

² Bruce Wilson and Thomas Corcoran, Places Where Children Succeed: A Profile of Outstanding Elementary Schools. (Philadelphia: Research for Better Schools, December 1987).

³ Ibid., 1.

⁴ Personal communication to the author from an SRP official, January 1990.

emphases on sustained math and reading achievement. As one author states, however,

the criterion one chooses to measure instructional effectiveness has a large effect on which schools are identified as effective.⁵

Since the program is a self-nominating one, some schools which may be effective, according to criteria other than those used by the program, but which choose not to enter the competition, debase the program standard(s) for effective schools by constricting the sample. It is therefore important to note that any chosen standard is neutral in itself and only attains status in its application to schools which manifest it. This has the effect of creating a closed loop whereby the standard and the school depend on each other; yet, the relationship--and the "success"--may evaporate when a slightly different standard is applied.

In another quote regarding the utility of measures of instructional outcomes, Rowan states that

...many of these measures are extremely unreliable. For example, my colleagues and I examined the stability of instructional effectiveness measures based on trend analysis, and on regression procedures. Using trend analysis, we found that schools with high gains in achievement one year had low gains the next year. Using regression analysis, we found that only 50 percent of the schools identified as effective in one year remained effective the next. Thus, from year to year, rankings of the instructional effectiveness of schools tended to vary markedly.⁶

⁵ Rowan, *ibid.*, 110.

⁶ *Ibid.* Emphasis added.

This is not a study of school effectiveness. The purpose of the preceding remarks is to create a context for the study, and to point out that seeking to define school effectiveness often ends up a subjective and frustrating exercise.

The recognition program application process is a lengthy one, requiring that all qualifying characteristics be well documented. The leadership characteristic--the focus of the present study--is consistently listed among the first few characteristics in each of the first three program years.

B. Change in Schools

One unanticipated outcome of Program participation is the introduction of a "change mentality" into the setting of the participating school. Schools exist in a state of dynamic tension between conserving and imparting traditional cultural values, and preparing students to be flexible and ready to meet changing conditions in the future.⁷

Schools must change: the public momentum and will are present now. Schools do change but they change slowly and the amount of change varies across districts and schools, due to differing conditions. Some of the variables include: a spirit of collaboration and a synergism for change which are internally created; proposed changes which are made meaningful to all staff who have to incorporate the change; and finally,

⁷ Bruce Bowers, "Initiating Change in Schools," Research Roundup (Alexandria, VA: National Association of Elementary School Principals, April 1990), 1.

the principal's leadership style which has a major influence on the direction and impact of proposed changes.⁸

The present study examines the generalized impact of the participating principal's leadership style on change within the school. Specifically, the study examines the perception by the principal's work group of his/her leadership style.

C. Statement of the Problem

As demonstrated in the review of literature, the search for school effectiveness seemed to have become a sort of national obsession in the mid-1980s. Despite disavowals by researchers and government officials, a close reading of the literature indicates there was an intense search for a simple, easily transferable, effective school formula, with an emphasis on one characteristic--the principal's leadership. The Education Department effort focused on the identification and recognition of schools emphasizing basic skills, with one leader pushing those skills.

It is true that leadership is necessary. Without a clear direction and coordination of effort, an organization will flounder. What is less clear is whether it is sufficient for leadership to come from only one person in an organization. The democratic, participatory nature of our times seems to oppose an exclusive focus on unitary leadership. As noted in the review of literature, there is a heavy use of business

⁸ Bowers, *ibid.*, 6.

models of leadership in the educational sector.

The review of literature did not produce evidence of a pure, school-focused leadership model. In the absence of such a model, a training model with a strong psychological component and an emphasis on transformational leadership style, provides a useful tool for examining principal leadership styles.

With these points as background, the present study seeks to determine which of four specified leadership styles will occur most frequently among selected Wisconsin elementary principals.

D. The Survey Instrument

The survey instrument, a one-page form called **Leadstyle**, was developed by Larry Hutchins and Lyn Hutchins. The genesis of the form is detailed in the review of literature and is also briefly described below.

Leadstyle has 76 questions. The questions are stated as prompts for respondents to check. The form starts with the phrase " 'He/she frequently':" and the prompts appear in two columns on a legal-size page. For sample questions, please see Appendix 1. Each survey respondent (in this case, an elementary principal) is instructed to complete a form on him- or herself, plus ask a superior (superintendent), one or two peers (other principals), and one or two subordinates (teachers) to also complete a survey form on the respondent principal. The results reveal data about perceptions of lead-

ership style and are reported as "self" and "other" responses.

Basically, **Leadstyle** draws upon work done by Hersey and Blanchard in their development of the **LEAD** questionnaire; work by Blake and Mouton, in their development of the **Managerial Grid**; and work based on the theory of Carl Jung and his daughter's work with the **Myers-Briggs Type Indicator**.

The following discussion is taken from the **Leadstyle** interpretive booklet.⁹ **Leadstyle** integrates the above-listed leadership and personality theories. A four-part grid is designed "to reflect the responses people make to change situations."¹⁰ See Figure 1, page 11. The vertical axis represents people and relationships and the horizontal axis represents tasks and results. Four **Transactional Leadstyles**, or **TAs**, are identified: Driver, Persuader, Supporter and Analyst. Each one occupies a quadrant of the grid, and represents a combination of task and relationship behaviors.

The **Leadstyle** framework describes TAs as showing how an individual acts in day-to-day change situations.¹¹ James MacGregor Burns in his classic book, Leadership, states that transactional leadership occurs when "one person takes the initiative in making contact with others for the purpose of

⁹ Larry Hutchins and Lyn Hutchins, Leadstyle: Transforming the Culture (Aurora, CO: By the Authors, 1988), 9-18.

¹⁰ Ibid., 11.

¹¹ Ibid., 4.

an exchange of valued things."¹² An added dimension of the four **Leadstyles** is that they incorporate "personal style" with leadership style,¹³ using the **Myers-Briggs** psychological dimensions. This adds a personality factor to the mix and gives a broader and deeper picture of leadership styles.

Transformational Leadstyles, hereafter called **TFs**, are also identified in the instrument. They are Visionary, Empowerer, Strategist, and Catalyst. Each corresponds to one of the transactional leadstyles previously noted. This relationship is explained in a later section.

Burns defines transformational leadership as occurring when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality.¹⁴

Hutchins and Hutchins, the **Leadstyle** authors, state that

[t]ransformational change is more than an alteration of the status quo. It is a basic realignment of means and ends. Think of the difference as one of degree versus one of form. Transactional change in an organization might result in a ten percent increase in profits--without changing its product line or services. A transformational change might alter the mission of the company as well as products or services.¹⁵

¹² James MacGregor Burns, Leadership (New York: Harper and Row, 1978), 19.

¹³ Hutchins and Hutchins, *ibid.*, 10.

¹⁴ Burns, *ibid.*, 20. Emphasis in original.

¹⁵ Hutchins and Hutchins, *ibid.*, 39. Emphasis in original.

The **Leadstyle** survey form provides useful information about perceptions by self and other of day-to-day leadership behavior as well as about the impact of leadership style on an organization. The instrument was selected because it contains important leadership and management concepts, drawn from established theories, and combines them with essential personality concepts, drawn from a solid psychological theory, giving a mix of task and relationship components as measures of specific leadership styles. Though not yet nationally validated, it has been extensively field tested as a training tool with management groups. The present study is an attempt to examine **Leadstyle's** value as a training tool for educators.

E. Definitions

Transactional Leadstyles: TAs

Drivers - persons exhibiting high task and low relationship behaviors. They accept change and want to get on with it. They may come across as aggressive since they focus more on the task at hand than on the needs of the people involved. The Driver position is the starting place for transactional change. This represents the old paradigm: a strong leader, pushing through ideas by force of position or will, working alone.

Persuaders - persons exhibiting high task and high relationship behaviors. They are advocates for change and use their debating skills to persuade, rather than to use force or position to coerce for change.

Supporters - persons exhibiting low task and high relationship behaviors. While not necessarily partisans for or against change, they want everyone to work for the same goal and to deal with any interpersonal stress resulting from the change. They have opposite characteristics to their diagonal counterparts, the Drivers.

Analysts - persons exhibiting low task, low relationship behaviors. They advocate a go-slow attitude, wanting assurances that change is really needed and that, if needed, its direction is correct. They have opposite characteristics to their diagonal counterparts, the Persuaders.

Blockers -these persons may exhibit any of the four TAs. What makes Blockers unique is that they actively oppose change. The status quo has brought them what they have in terms of position and power, and they may perceive that any change threatens their power and achievements. On the other hand, Blockers may be right about a proposed change: it may not be needed, and their opposition needs to be studied carefully.

It is important to know that none of these leadership styles manifests as a pure style in any one person all the time. In point of fact, while individuals generally fall into one most frequently occurring style, it is possible that no one particular style will be preeminent in every situation. With study of one's "self" style and with an analysis of one's

work group's "other" style on a given issue, it is possible to emphasize the leadership characteristics necessary to move the work group toward a desired goal.

Transformational Leadstyles: TFs

The descriptions of Transformational **Leadstyles** frequently mention 'paradigm shifts,' a concept taken from the work of Thomas Kuhn.¹⁶ Traditional, transactional leadership styles are based on exchanges between unequals, e.g., between subordinates and superordinates, for exogenous goals. Transformational leadership styles, on the other hand, are more egalitarian, based on indigenous means and goals consensually agreed upon. They transcend participatory management, moving instead to what Burns refers to as "higher levels of morality and motivation." ¹⁷

Four TFs are defined, each one relating to a TA.

Figure 1 shows where the TFs are located relative to the task and relationship axes of the **Leadstyle** framework.

Relationship	Empowerer Supporter	Visionary Persuader
	Strategist Analyst	Catalyst Driver
		Task

Figure 1. Transformational Leadstyles as
Related to Transactional Leadstyles ¹⁸

¹⁶ Thomas Kuhn, The Structure of Scientific Revolutions ed. (Chicago: University of Chicago Press, 1962).

¹⁷ Burns, *ibid.*

¹⁸ Adapted from Hutchins and Hutchins, *ibid.*

TFs may appear in different individuals at different times, depending on where the expertise to solve a given problem lies, since TF decisions are consensual. Additionally, TFs may appear in a group rather than in an individual. For the purposes of this study, the TF terms will be used singularly, as if applying only to the person of the principal, but they should be understood as occasionally occurring as collectivities.

Visionaries - persons with high relationship and high task skills and motivation. They are part of a process of creating a strategic vision of the organization. The vision is open to new, as yet unknown opportunities, and creates a culture of continual goal revision. The new paradigm features the initiation of the transformational change process here, with the Visionary. The old paradigm, it will be remembered, begins the transactional change process with the Driver. The transformational counterparts of Drivers, the Catalysts, are seen as occupying, interestingly, both the last and the first steps in the loop of the transformational change process. The Visionary's role centers on making a reconceptualization of the organization's goals the first step in the change process. The Visionary is the transformational counterpart of the transactional Persuader.

Empowerers - persons with high relationship but low task skills and motivation. They are the facilitators of the group process, as the group comes to grips with the vision

articulated by the Visionary. Empowerers may also serve as the guardians and transmitters of the corporate culture. The Empowerer is the transformational counterpart of the transactional Supporter.

Strategists - persons with low relationship and low task skills and motivation. They are the resource gatherers under the new paradigm, scanning both internal and external environments in order to perform trend analysis. The Strategist is the transformational counterpart of the transactional Analyst.

Catalysts - persons with low relationship but high task skills and motivation. Catalysts, the transformational counterparts of the transactional Drivers, and relegated to occupying the final step in the transformational change process, nonetheless play an important role. The existence of the Catalyst position recognizes that no one role controls a complex organization. The Catalyst is in a focal position to manage issues, outcomes, and opportunities. The Catalyst is the transformational counterpart of the transactional Driver.

Other Terms

Caustic Cross - the situation where a leader is said to equally embody dominant characteristics of two opposite **Leadstyles**. When the leader of a work group displays "crossed" styles, at best it sends mixed messages to the work group members, resulting in confused communications and crossed

purposes; at worst, it leads to disarray and breakdown as work groups mistake and misinterpret their focus. When two or more people in the work group have "crossed" styles, conflict will be likely, since their respective perceptions of appropriate action are so different.

Four-square - The situation in which an analysis reveals equal or almost equal strengths in all TAs or all TFs. This can be an advantage because the leader can relate to all other group members, regardless of their dominant **Leadstyle**. It can present a disadvantage if the leader wishes to pursue or be identified with a particular position or plan: the leader may too readily "see" others' points of view and become immobilized by too many choices. Yet, to be effective as a transformational leader, the leader must operate in all four quadrants at once, since there is activity and interactive change occurring simultaneously in all areas. ¹⁹

Convergence - used to indicate when a leader's "self" analysis of dominant **Leadstyle** is in agreement with the "other" analysis of the leader's dominant **Leadstyle**. For example, there is convergence when the leader and the "other" identify Supporter as the dominant **Leadstyle**.

Divergence - used to indicate when a leader's "self" analysis is markedly out of synch with that of his/her "other" analysis of the leader's dominant **Leadstyle**. For example, the leader's dominant "self" may indicate Supporter, while his/her

¹⁹ Hutchins and Hutchins, *ibid.*, 51.

dominant "other" may indicate Driver.

F. The Sample

The major criterion for inclusion in the present exploratory study was a Wisconsin elementary school's participation in the Elementary School Recognition Program during one of its first three years. Schools enter the competition through a self-selection process, and middle schools may enter either the elementary or the secondary competition.

The second criterion for participation in this study is that at only twenty of the original thirty Wisconsin schools entering the Recognition Program was the principal who had led the effort still employed. Each of the other ten principals had either transferred within or out of the district, or retired.²⁰ The interaction of the principal with his/her staff is a factor in determining the effectiveness of the principal's leadership style. Although the school was the unit of study for deciding initial participation in the study, the principal's leadership style is the eventual unit of study. As indicated above, the survey instrument requires that each respondent principal select a superior, peers and subordinates to complete a survey form each. If the respondent principal were at a different school from that at which he/she led the recognition effort, the survey results might not be valid.

²⁰ A telephone survey of the thirty schools was conducted by the author in February, 1990.

Twenty selected Wisconsin elementary school principals were invited to participate in an exploratory research project about leadership style. They were advised they would receive a packet of information and survey forms in a few days, and that participation was voluntary and confidential. They were advised their selection had been solely on the basis of their participation in the Elementary School Recognition Program.

Three days later, each of the selected principals received the promised packet, again inviting participation and stressing the voluntary nature of the research. The principals were sent five copies of the **Leadstyle** survey and asked to distribute them as follows: one to be completed by the respondent principal, and one each by the school district superintendent, one or two peer principals in the district, and one or two subordinate teachers in the respondent principal's building, for a total of five surveys. Return envelopes were provided for the four "other" respondents. Of the original twenty survey packets sent out, only thirteen were returned, for a response rate of 65%.

After all individual responses were received from each of the thirteen participating principals' schools, each of the sixty-five responses was coded and sent off for scoring.

Computer-generated results were returned for each respondent and are shown as exhibits in Appendix 2. The results give a "self" score for respondent principals and an aggregated "other" score for each set of other respondents for

each principal.

After analyzing the results for convergences and divergences across and within self and other scores, identifying the most-frequently occurring Transactional and Transformational **Leadstyles**, and identifying four-square occurrences, a sub-sample of six principals then was selected to be interviewed. The smaller sample represents half of all female principals (two of four) and 44% of all male principals (four of nine) in the larger sample.

Since the six interviewees were scattered across the state, interviews were conducted by telephone, each lasting about an hour. Three categories were explored in the interview: Professional/Personal, Participation in the Recognition Program, and Leadership Style. Interviewees responded from their own role, with oral responses supplementing and enhancing information gathered by the written survey process. The principals' perspective on their leadership style and role was compared to the aggregated "other" perspective as part of the analysis process. The interview format is found in Appendix 3.

G. The Framework for Analysis

The analysis of the results of this exploratory study proceeds along three strands: leadership, personal style, and group productivity. The following discussion is taken from

the **Leadstyle** manual. ²¹

Leadership analysis focuses on two linked spheres of administrative responsibility, task and relationship. How the principal proceeds toward the completion of a specific task, in combination with how she/he attends to the personality elements of her/his work group, is examined. The **Leadstyle** instrument draws heavily on work done by Hersey and Blanchard, and Blake and Mouton.

The examination of personal style addresses how principals approach the concept and prospects of change. Specific leadership behaviors are identified and labeled. Four transactional styles, involving simple interactions between parties, are identified: Driver, Persuader, Supporter, and Analyst. Four related transformational styles, involving more complex, structural changes are identified: Catalyst, Visionary, Empowerer, and Strategist. This analysis has its roots in work by Carl Jung and his daughter's use of that work to develop the **Myers-Briggs Type Indicator** of personality style.

The third strand, group productivity, is the heart of the **Leadstyle** framework, combining a leadership analysis with an analysis of the principal's own style. The change experienced by a work group is examined, as it moves through a predictable cycle: forming, storming, norming and

²¹ Hutchins and Hutchins, *ibid.*, 9-26.

performing. Each stage of this cycle has a direct relationship to each of the four **Leadstyle** quadrants.

The relationship is best explained in terms of the movement from one situation on the grid to the next and the role that individual styles play in that dynamic.²²

Interview data were analyzed in light of the principals' responses to questions about leadership style, participation in the Recognition Program and responses to change. These data were integrated with the three-strand analysis sketched above, for an analysis of specific leadership styles and the dynamics of change in elementary schools.

H. Significance of the Study

Through its analysis of leadership styles, this study gives valuable insights into the role of principals' leadership in directing change in elementary schools. This study has implications for the preparation and training of elementary principals. Its results will enable researchers and trainers to offer preservice and inservice training to practicing administrators which will enable them to better match personal leadership styles with change situations.

I. Limitations of the Study

This study focuses on selected Wisconsin principals who participated in the Elementary School Recognition Program. The criterion for inclusion in the study is participation in a self-selection process rather than a "pure" nomination

²² Hutchins and Hutchins, *ibid.*, 21.

process. Such a self-selection may create a built-in bias toward the emergence of certain leadership styles over others in the study. In addition, the sample was small, including only thirteen principals. Finally, the **Leadstyle** instrument is not yet a nationally validated one, thus allowing the drawing of only limited conclusions.

CHAPTER II

REVIEW OF RELATED LITERATURE

The goal of this exploratory study is an examination of leadership styles among selected Wisconsin elementary school principals. Special attention is paid to how change at the principals' schools was affected by their participation in the Elementary School Recognition Program. Principals in this study had unique roles as change agents and as boundary or linking agents.

This review examines several related issues. First, in the context of the search for effective schools, some conflicting positions on leadership are reviewed and discussed. Next, the theoretical foundations of the survey instrument used in the study are summarized briefly. Third, the principals' boundary location between conflicting groups is reviewed to determine the relationship of boundary role with the principals' leadership style. Finally, selected aspects of the principals' role as a change agent are explored. These are the major strands of a complicated human and organizational tapestry, against which to consider

the results of the study, as detailed in Chapter III.

A. Conflicting Views of Leadership

Concerns over the quality of educational opportunity and the quality of educational offerings led, through the 1970s and 1980s, to efforts to locate effective schools. It was evidently hoped that transferable characteristics would be located and disseminated as recipes or formulas for other schools to emulate:

Faced with rising expectations from the public and often inadequate budgets for reform, American educators are turning with increasing frequency to a new school strategy for improvement that advocates say puts old-fashioned good sense into a cost-effective plan of action. The approach gains its power from one deceptively simple idea: that a set of school practices shown to promote learning in one school can do the same in any school environment.¹

Such high hopes for an easy solution were soon dashed, however, for several reasons. First, it quickly became clear that conditions for replication of effective programs simply were not identical among different areas of the same city, let alone areas of the country. Second, the studies revealed that effective school researchers were not measuring the same phenomena in their subject schools.² Third, some of the identified characteristics of effective schools may actually be outcomes rather than causes of effectiveness:

¹ Lynn Olson, "Effective Schools," special section in Education Week, 15 January 1986, 11.

² J.J.D'Amico, The Effective Schools Movement: Studies, Issues, and Approaches (Philadelphia: Research for Better Schools, 1982), 9.

Over and over again in the course of their descriptions, the authors of these studies [four major effectiveness studies are reviewed in the paper] emphasize that they are outlining correlations (ones that occur at the same time) not causal relations (ones that make each other happen). The significance of this distinction is an important one for practitioners. It means that these studies' results and conclusions should not be interpreted as a recipe for creating an effective school for the authors themselves cannot be sure that a school is effective because it has the characteristics described.³ (Emphasis in the original.)

The search for effectiveness continued through the 1980s, and lists of effective school characteristics continued to appear, variously expanding and contracting according to the research emphasis. Consistent among all these changes, however, was a short list of five characteristics which appeared regularly enough to be deemed generalizable for K-12 schools:

- * A pervasive and broadly understood academic focus, or school mission;
- * Careful monitoring of student achievement as a basis for program evaluation;
- * Teachers who believe in and exhibit high expectations that all students can master the curriculum;
- * A safe and orderly school climate conducive to learning; and
- * A principal who is an instructional leader, paying close attention to the quality of learning and teaching in his school.⁴

The final characteristic on the above list is particularly of interest in the present study, as well as for other researchers. An example can be seen in Lipham's quote of

³ D'Amico, *ibid.*, 13-14.

⁴ Olson, *ibid.*, 12. See also B.Z. Presseisen, Understanding Adolescence: Issues and Implications for Effective Schools (Philadelphia: Research for Better Schools, 1982), 27.

research by Henthorn:

Basic to all the studies, however, was the question of why some schools are more effective than others. Among the many variables examined, the leadership of the principal invariably has emerged as a key factor in the success of the school.⁵ (Emphasis added.)

It is quite likely that most writers about the subject of leadership would agree with remarks by Warren Bennis:

Of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for top nomination. And, ironically, probably more has been written and less known about leadership than about any other topic in the behavioural [sic] sciences. Always, it seems, the concept of leadership eludes us or turns up in another form to taunt us again with its slipperiness and complexity. So we have invented an endless proliferation of terms to deal with it...and still the concept is not sufficiently defined. As we survey the path leadership theory has taken we spot the wreckage of 'trait theory', the 'great man' theory, and the 'situationist critique', leadership styles, functional leadership, and finally leaderless leadership; to say nothing of bureaucratic leadership, charismatic leadership, democratic-autocratic-laissez-faire leadership, group-centred [sic] leadership, leadership by objective, and so on.⁶

Some traditional, persistent theories of leadership posit trait, great man, or situational factors as necessary ingredients for school success. A countervailing body of work finds the above-listed factors either insufficient at best as

⁵ J.Henthorn, "Principal Effectiveness--A Review of the Literature," quoted in James Lipham, Effective Principal, Effective School (Reston VA: National Association of Secondary School Principals, 1981), 2.

⁶ Warren Bennis, "Leadership Theory and Administrative Behaviour," Administrative Science Quarterly 4, (1959): 259. Quoted in John Smyth, ed., Critical Perspectives on Educational Leadership (Philadelphia: Falmer Press, 1989), 4.

explanations for some school organizations' success; or, inadequate at worst as bases for school reform plans.

Traditional leadership theories appear to focus on the person of a leader, with his/her ideas, charisma, vision. Despite prior statements about dispelling old leadership myths, Bennis closes his 1985 book, Leaders, by positing an extremely bleak future. Without the arrival of a leader to fill the void brought about by an "absence of vision, a dreamless society," he says, there will result "the disintegration of our society because of a lack of purpose and cohesion." ⁷ In framing his argument in this dramatic manner, Bennis seems to be fostering a variation of the "great man" theory. If read in this way, Bennis' position stands in opposition to the currently fashionable, participatory theory of W.E.Deming ⁸, as well as the very essence of Burns' transformational leadership theory. ⁹

Other examples of hierarchical, top-down leadership styles appear in business-focused books which are often

⁷ Warren Bennis and Burt Nanus, Leaders: The Strategies for Taking Charge (New York: Harper and Row, 1985), p. 228.

⁸ See Charles A. Melvin, III, "Quality Improvement the Deming Way," Wisconsin School News (October 1991): 25-28; Lewis A. Rhodes, "Beyond Your Beliefs: Quantum Leaps Toward Quality Schools," The School Administrator (December 1990): 23-26; and Rafael Aguayo, Dr. Deming (New York: Simon and Schuster, 1990).

⁹ James MacGregor Burns, Leadership (New York: Harper and Row, 1978).

the theoretical sources for educational practices. Etzioni, in Modern Organizations, while acknowledging the limits of leadership--"A person who is a leader in one field is not necessarily a leader in another....,"¹⁰ --nevertheless seems to favor top-down control:

The power of an organization to control its members rests either in specific positions (department head), a person (a persuasive man [sic]), or a combination of both (a persuasive department head).¹¹

A bias toward casting one person in the sole leadership role is further seen in Etzioni's exposition on the exercise of organizational control for the purpose of obtaining compliance. Control is either coercive--based on the application of physical means--or utilitarian--based on use of material rewards of goods or services--or normative/social--based on the use of symbols of prestige, esteem or acceptance.¹² Work group members may indeed "buy into" an organization's goal structure in return for rewards, or to avoid punishment, or because they agree with the organization's values. However, such an inequality of power relationships, where a superior exercises control over subordinates to achieve organizational goals, is inappropriate for school circumstances. Generally speaking, schools tend to fall into

¹⁰ Amatai Etzioni, Modern Organizations (Englewood Cliffs, NJ: Prentice-Hall, 1964), 61.

¹¹ Ibid.

¹² Ibid., 58-59.

Etzioni's normative group, where cultural values are enthusiastically endorsed and transmitted. Yet, one writer emphatically states that rather than treat people merely as "ciphers or automatons blindly following a superior who has been designated or who has been taught to be a leader," it is necessary to introduce the concept of "human agency" :

Human beings live out their daily lives and socially construct their reality through the negotiations, contestations and resistances of the rules and resources within which their lives are entwined. ¹³

Despite the passage of many years, and the societal rejection of a patriarchal approach like Etzioni's, much the same emphasis is seen in the school reform literature of the late 1980s which, according to one author, "...still sees school leadership as part of a largely unproblematic top-down bureaucratic structure." ¹⁴ According to this author, reform is proposed from the perspective of administrators, whose role is to "manage the various interests that impinge upon schools but to do this in a way that is detached from politics and ideology," ¹⁵ hardly an acknowledgement of the political and social changes sweeping the world.

¹³ Peter Watkins, " Leadership, Power and Symbols in Educational Administration," in Critical Perspectives on Educational Leadership, ed. John Smyth (Philadelphia: Falmer Press, 1989), 23.

¹⁴ Lawrence Angus, " 'New' Leadership and the Possibility of Educational Reform," in Critical Perspectives on Educational Leadership, ed. John Smyth (Philadelphia: Falmer Press, 1989), 85.

¹⁵ Angus, *ibid.*

In another standard text, Max Weber's bureaucratic organizational form is compared favorably to Burns and Stalker's mechanistic system, where a strict hierarchy is established and a one-to-one leadership style is in force. The effect of such a hierarchical structure is that most interactions between superiors and subordinates occur in private sessions, with little or no attention paid to the group process model so widely promoted in the 1990s. ¹⁶

The business-based management/leadership models, providing regular contributions to the study of educational leadership, consistently focus on historically traditional roles for leaders. In these models, there is often a line and staff orientation, with a fairly strict hierarchy. This hierarchical structure tends to encourage competition accompanied by distortion and blockage of communications.¹⁷ While formal organizations--including schools--need hierarchies in order to function, educational settings are characterized more by elements of loose coupling than by those of tight structure. That is, schools are generally sensitive to their environments, allow for local adaptation of innovations, pre-

¹⁶ Wendell French and Cecil Bell, Jr. Organizational Development, 2nd ed. (Englewood Cliffs, NJ: Prentice-Hall, 1978), 216-225.

¹⁷ Peter Blau and W. Richard Scott, Formal Organizations (San Francisco: Chandler, 1962), quoted in Wayne Hoy and Cecil Miskel, Educational Administration, 2nd ed. (New York: Random House, 1982), 84.

serve diversity, and allow room for self-determination.¹⁸

The other sides of loosely coupled elements provide their own problems, but generally a less formal structure offers more desirable attributes in an educational setting where the forms of democratic participation are taught. Further, the business-based models, by all accounts, are not readily translatable to the educational setting, if only because the inputs and outputs of each system--business and education--are so different. This theme is highlighted in an article by Richard Nelson. He states that a school principal must act as both a manager--the corporate model--and an instructional leader--the education model, simultaneously. Few of the business terms or concepts really make sense in a school context: "bottom line" and "corporate flexibility" are good examples. The school principal is additionally in the unique position of supervising what amount to "unionized managers," hardly comparable to a business situation.¹⁹

B. Selected Leadership Theories

Selected leadership theories used by educators are now considered. They are treated in roughly chronological order to their development.

¹⁸ Karl E. Weick, "Educational Organizations as Loosely Coupled Systems," Administrative Science Quarterly 21 (March 1976): 1-19.

¹⁹ Richard Nelson, "Can Corporate Management Work in Schools?" Principal 71 (November 1991): 32-33.

The leader trait concept, explored by Stogdill at Ohio State University in the late 1940s, sought correlations between physical and personality factors of leaders, and their leadership behavior.²⁰ Although correlations were low, and even though Stogdill himself admitted that situational factors may be more important than traits,²¹ this theory is still widely accepted by some business leaders as proof of their leadership ability:

Thus the trait approach still finds favour[sic] because it often presents those idealized characteristics with which people would like to typify their imagined symbolic heroes. In addition, the approach has been nurtured by business magnates to justify their own position through myths and legends that endorse their prowess....²²

The next group of leadership studies focused on leader behavior in terms of situational variables; that is, in terms of leader function rather than in terms of traits.²³

The notions of 'initiating structure' and 'consideration' were isolated as basic dimensions of leadership behavior in formal organizations.²⁴ (Quotation marks in original.)

²⁰ Peter Watkins, "Leadership, Power and Symbols in Educational Administration," in Critical Perspectives on Educational Leadership, ed. John Smyth (Philadelphia: Falmer Press, 1989), 12-13.

²¹ Stogdill quoted in Watkins, 13.

²² Watkins, 13.

²³ Ibid.

²⁴ Watkins, 14.

These terms are defined in the following:

Initiating structure refers to "the leader's behavior in delineating the relationship between himself [sic] and members of the work group and in endeavoring to establish well-defined patterns of organization, channels of communication, and methods of procedure." On the other hand, Consideration refers to "behavior indicative of friendship, mutual trust, respect, and warmth in the relationship between the leader and the members of his [sic] staff." ²⁵

The focus of this research was initially on observed behavior of leaders, but later refinements led to an examination of the self-perceptions of leaders of their own leadership style.²⁶ A new feature of this work was the realization that leadership behavior could be described as a mix of two dimensions--Initiating Structure and Consideration --rather than simply as a point on a one-dimensional continuum ²⁷, thereby adding to the depth and breadth of the research effort.

The Leadership Behavior Description Questionnaire (LBDQ) developed out of research on situational variables in the 1940s. Though described as being of limited value due to its static, restrictive nature, as well as the vagueness

²⁵ Andrew Halpin, The Leadership Behavior of School Superintendents, quoted in Management of Organizational Behavior, 3rd ed., Paul Hersey and Kenneth Blanchard (Englewood Cliffs, NJ: Prentice-Hall, 1977), 94.

²⁶ Ibid.

²⁷ Paul Hersey and Kenneth Blanchard, Management of Organizational Behavior, 3d ed., (Englewood Cliffs, N.J.: Prentice-Hall, 1977), 95.

of its measures, the LBDQ nevertheless continues to be treated and used as a reliable research instrument in the present:

...[M]ost research has been conducted as if leadership were a unique phenomenon, although most of the conceptions of leadership can be explained in more basic variables. This simplistic, static view of leadership [the LBDQ] has led researchers to exclude intermediate and situational variables such as power and class relationships. But the consideration of these may be necessary in order to understand how leaders' actions can affect the productivity or well-being of their subordinates.²⁸

Leadership behavior theories with a business orientation appear to hold the position that one leader [school principal], guiding the enterprise [school or district], with his/her vision, will be able to achieve high work output from all employees. Yet, research has found little to substantiate the claims that Initiating Structure or Consideration really have much predictive value even in the business world.²⁹ Though the situationalist approach was not functioning on its own terms, it was criticized for ignoring the inequalities of organizational power, and thus reinforcing an acceptance of the status quo.³⁰ If true, such an approach

²⁸ K. Janda, "Toward the Explication of the Concept of Leadership in Terms of the Concept of Power," Human Relations 12 (1960): 345-63 and G. Yukl, "Leader LPC Scores: Attitudes, Dimensions and Behavioural Correlates," Journal of Social Psychology 6 (1971):414-40, quoted in Watkins, *ibid.*, 14-15.

²⁹ A. Korman, "Consideration" "Initiating Structure" and "Organisational [sic] Criteria"--A Review," Personnel Psychology 19 (1966) 349-61, quoted in Watkins, *ibid.*, 15.

³⁰ Watkins, *ibid.*, 15.

to school governance appears to run counter to the spirit of inquiry and democratic participation, even within a hierarchy, which are accepted as part of American education.

Roland Barth, in a description of his personal vision of a good school, indirectly addresses the participatory nature of a school. His description includes, among other things, that the good school should be a community of learners, based on collegial relationships, with respect for diversity. All associated adults should come to it by choice and commitment. Through its inclusiveness, it becomes a community of leaders.³¹ This is the essence of a transforming hierarchy.

Following the LBDQ as a conceptual development was the Managerial Grid, created in 1964 by Robert Blake and Jane Mouton. These authors studied a leader's "concern for" production, calling it the "task," and a leader's concern for people, calling it the "relationship."³² The phrase "concern for" is important, because it connotes a predisposition toward something, or an attitude. The Managerial Grid purports to be an attitudinal model, measuring a leader's predisposition, while the Ohio model (LBDQ) examines how a leader's actions

³¹ Roland S. Barth, "A Personal Vision of a Good School," Phi Delta Kappan (March 1990): 512-516.

³² Hersey and Blanchard, 96.

are perceived by others, clearly a behavioral model. ³³

Perception of the leader's behavior is a critical concept since it acknowledges the existence and importance of other people. The "others" referred to in the present study are the work group constituents of the surveyed principals: superiors, peers and subordinates.

Movement toward the development of relationships, and away from the depersonalization of the workplace, is evident in the structure of the Managerial Grid. Blake and Mouton introduced a concept of "balanced leadership," a balance between high productivity and strong human relationships. Under this model, the leader strives to find the best position in order to achieve reasonable production with high morale. ³⁴ The shift toward "process" and away from "product" signals a move of great importance for organizational leadership theory, a point developed in Andrew Halpin's work, in the late 1950s.

Managers, according to Andrew Halpin, when faced with a choice of a "task" or a "relationship" emphasis in their leadership style, will choose one or the other as being more important. ³⁵ Yet, writers and students of leadership like Barnard and Bennis ³⁶ recognized that effective organizations

³³ Ibid., 97.

³⁴ Hoy and Miskel, *ibid.*, 250.

³⁵ Hersey and Blanchard, *Ibid.*, 98.

³⁶ *Ibid.*, 98.

depend on a mix of leader behaviors, rather than the leader emphasizing only one behavior, in either-or terms.

In an attempt to combine the work of the trait and the situation theorists, Fiedler in 1967 developed what he called the "Contingency" model.³⁷ The basic components of the theory are three major situational variables, having an impact on which situation is favorable to a leader: the leader's personal relations with group members; the degree of structure of the group's task; and the power and authority of the leader's position. The first of these variables relates to a relationship position, while the second and third are linked to a task function.³⁸ Fiedler's theory has had its share of critics, as seen in the following quotation:

Although Fiedler's model is useful to a leader, he seems to be reverting to a single continuum of leader behavior, suggesting that there are only two basic leader behavior styles, task-oriented and relationship-oriented. Most evidence indicates that leader behavior must be plotted on two separate axes rather than on a single continuum. Thus, a leader who is high on task behavior is not necessarily high or low on relationship behavior. Any combination of the two dimensions may occur.³⁹

This point is emphasized in the Blake and Mouton's Managerial Grid, with its two axes.

³⁷ Fred Fiedler, A Theory of Leadership Effectiveness (New York: McGraw-Hill, 1967), 151.

³⁸ Hersey and Blanchard, *ibid.*, 101-102.

³⁹ *Ibid.*, 102.

An even more critical viewpoint of Fiedler's theory is voiced by Smyth who, referring to work by Ashour, states that Fiedler's work is not supported by empirical evidence and is not a theory. Rather, it only "suggests a set of relationships without exploring the basic dimensions of those relationships." 40

Fiedler, apparently to defend his earlier theory, put forth a new theory in 1987, blending the earlier contingency theory with a new "...cognitive resource theory. This new theory appears to be a variant of the old trait theory." 41 Trait theory, as an approach to studies of leadership, focused on certain characteristics, or inherent personal qualities, which were thought to occur in some people and to be transferable across situations. 42

Fiedler has his supporters, of course, as seen in this quote by Victor Vroom:

Fiedler's theory thus represents an ambitious and laudable effort to go beyond the obviously correct but vacuous generalization that 'leadership depends on the situation.' The model demonstrates some characteristics of situations and individuals that partially explain the leadership phenomenon. Like most

40 A.S.Ashour, "Further Discussion of Fiedler's Contingency Model of Leadership Effectiveness," Organizational Behavior and Human Performance 9 (1973): 369-76, in Smyth, *ibid.*, 17-18.

41 Smyth, *ibid.*, 19.

42 Hersey and Blanchard, *ibid.*, 89.

pioneering efforts, it undoubtedly will be proven incorrect in detail if not in substance.⁴³

Evidently, this author is not fully convinced of the theory's validity and longevity. Yet, Hoy and Miskel, in commenting on Vroom's observation, note that

Fiedler's contingency model is probably the best attempt at this time to answer the question: What leadership style works best in each particular situation?⁴⁴

Fiedler's theory has its share of detractors for its lack of substance, objectivity and inconsistently-reported empirical traits; but it has provided a basis for two other researchers' work.

Hersey and Blanchard build on Fiedler's task behavior and relationship behavior concepts, plus add a third concept, "effectiveness." Task behaviors are the leader's efforts to organize and define role and function of others as they galvanize around an issue. Relationship behaviors are reflected in how the leader establishes personal relations with group members.⁴⁵ Effectiveness is posited as a third dimension: "The effectiveness of leaders depends on how their leadership style interrelates with the

⁴³ Victor H. Vroom, "Leadership," in Marvin Dunnette, ed., Handbook of Industrial and Organizational Psychology (Chicago: Rand McNally, 1976), 1536, quoted in Hoy and Miskel, *ibid.*, 243.

⁴⁴ Hoy and Miskel, Educational Administration, *ibid.*, 243.

⁴⁵ Hersey and Blanchard, *ibid.*, 103-104.

situation in which they operate." ⁴⁶ Echoing this theme is a passage in Hoy and Miskel's text:

For a fuller understanding of what makes a leader effective, contingency models, which examine the link between a leader's personal traits and situational variables, must be examined....Research studies in public schools provide evidence to support Fiedler's theory: the effectiveness of an elementary school was found to be contingent on the leadership style of the principal and the favorableness of the situation. ⁴⁷

The consideration of the dimensions of leadership covers many points of view and many alternate ideas about the key factors which have an effect on how leadership works. One of the major studies of leadership, a book by James MacGregor Burns, Leadership, defines leadership as

leaders inducing followers to act for certain goals that represent the values and the motivations --the wants and needs, the aspirations and expectations--of both leaders and followers. And the genius of leadership lies in the manner in which leaders see and act on their own and their followers' values and motivations. ⁴⁸ (Emphasis in original.)

This relationship-based definition is clearly predicated on a philosophy of inclusion as well as respect for the worth of others. The leader described here is in touch with his/her own goals in addition to those of others. This description of leadership is at odds with some others which are based on power and superior-inferior relations (see Etzioni, for

⁴⁶ Ibid., 104.

⁴⁷ Hoy and Miskel, *ibid.*, 258.

⁴⁸ James MacGregor Burns, Leadership (New York: Harper and Row, 1978), 19.

example) or trait theories (see Stogdill and Fiedler). More traditional theories of leadership have their roots in the early approach of Taylorism, which posits leadership as stemming from a given organizational position, and as dedicated to organizational goal achievement.

The strong assumption here is that leadership only occurs as a result of position. Top executives control their organizations through the manipulation of power designed to make individuals perform (task) and feel good about performing (consideration) at their level of competency (maturity). ⁴⁹ (Emphasis in original.)

Theories based on a top-down view of organizational management appear to give scant acknowledgement to personal relations or individual growth within an organization. Such concerns are of a more contemporary nature, and are well exemplified by the theories of Demby ⁵⁰ and Ouchi. ⁵¹

Yet, not all researchers subscribed to notions of people as interchangeable parts in a tightly structured organization. For example, two early theorists did recognize that

... the terms "leader" or "superordinate" and "follower" or "subordinate" in this usage are only relative; for the follower is not altogether passive in the relationship, and the leader is by no means always dominant. The nature of the relationship depends on the operating leadership-follower styles in the particular social

⁴⁹ William Foster, "Toward a Critical Practice of Leadership," in Smyth, *ibid.*, 44.

⁵⁰ Demby, *ibid.*

⁵¹ William G. Ouchi, Theory Z (New York: Avon, 1981).

system. 52

This point is reinforced by Foster, when he states that [t]o repeat some of our claims, leadership is and must be socially critical, it does not reside in an individual but in the relationship between individuals, and it is oriented toward social vision and change, not simply, or only, organizational goals. 53 (Emphasis in original.)

Greenfield, in an insightful essay about leaders and schools, believes it is more important to study leaders than leadership: "We must talk too about the meanings that bind leaders, followers, and all participants together in the social setting." 54 He sees schools as cultural artifacts, the products of human imagination, an interplay of human actions. 55

This theme is echoed in an article in 1984 by Sergiovanni where, referring to Simon's book, The Science of the Artificial, he states that "reality is created by human conventions rather than by being inherent in the nature of the

52 J.W.Getzels and E.G.Guba, "Social Behavior and the Administrative Process," The School Review 4 (Winter 1957) 65: 435.

53 Foster, in Critical Perspectives, *ibid.*, 46. Punctuation as in original.

54 T.B.Greenfield, in Leadership and Organizational Culture, ed. by Thomas Sergiovanni and John Corbally (Urbana: University of Illinois Press, 1984), 159.

55 Greenfield, in Leadership and Organizational Culture, *ibid.*, 159.

universe." ⁵⁶ Sergiovanni posits that leadership acts are intentional and are predicated on a leader's understanding of his follower's wishes. Foster agrees with this analysis when he states that

leadership, then, is not a function of position but rather represents a conjunction of ideas where leadership is shared and transferred between leaders and followers, each only a temporary designation. ⁵⁷

Again, from Sergiovanni:

Leadership as cultural expression seeks to build unity and order within an organization by giving attention to purposes, historical and philosophical tradition, and ideals and norms which define the way of life within the organization and which provide the bases for socializing members and obtaining their compliance. ⁵⁸

In addition, Sergiovanni validates Burns' position on the morality of transforming leadership, which occurs

when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality....But transforming leadership ultimately becomes moral in that it raises the level of human conduct and ethical aspiration of both leader and led, and thus it has a transforming effect on both. ⁵⁹ (Emphasis in original.)

Leadership becomes a transforming act when it changes

⁵⁶ Thomas Sergiovanni, "Cultural and Competing Perspectives in Administrative Theory and Practice," in Sergiovanni and Corbally, *ibid.*, 2.

⁵⁷ Foster, *ibid.*, 49.

⁵⁸ Thomas Sergiovanni, "Leadership as Cultural Expression," in Sergiovanni and Corbally, *ibid.*, 106-107.

⁵⁹ Burns, Leadership, *ibid.*, 20.

some part or parts of the environment or the actors. Transformational leaders comprehend and act on commonly-held views, which actions have an impact on the followers' actions and beliefs. Again, from Burns:

...leaders address themselves to followers' wants, needs, and other motivations, as well as to their own, and thus they serve as an independent force in changing the makeup of the followers' motive base through gratifying their motives.⁶⁰ (Emphasis in original.)

There is a circular and complementary interaction here among the actors in the leadership act. Again, Sergiovanni has an apt remark:

The object of leadership is the stirring of human consciousness, the interpretation and enhancement of meanings, the articulation of key cultural strands, and the linking of organizational members to them.⁶¹

Clearly, there is a dynamic interplay between leaders and followers when both agree to operate in a cooperative mode, and the interaction between them transforms their acts into something greater than the mere sum of its parts. Burns tells us that all leaders have one talent in common, and that is the "capacity to perceive needs of followers in relationship to their own, to help followers move toward fuller self-realization and self-actualization along with the leaders

⁶⁰ Burns, *ibid.*

⁶¹ Sergiovanni, "Cultural and Competing Perspectives," *ibid.*, 8.

themselves." ⁶² (Emphasis added.)

On the other hand, a critic of traditional leadership, Foster, believes that while Burns does acknowledge the important relationship between leader and led, that he [Burns] basically subscribes to a trait approach to leadership. Foster believes two factors negate Burns' approach. First, leadership is always context-bound, the result of human negotiation and interaction; it does not exist in a "pure" form somewhere in the ether. Second, leadership cannot occur without followership, with the two roles often being interchangeable and exchangeable. Transformational leadership is the result of mutual negotiation, and not simply the result of someone "volunteering." In short, Burns' historical model is not necessarily transferable to every sphere where leadership is needed ⁶³, especially the give-and-take of the educational sphere. Foster sums up his viewpoint on this topic:

Leaders normally have to negotiate visions and ideas with potential followers, who may in turn become leaders themselves, renegotiating the particular agenda. ⁶⁴

Foster goes on to identify four conceptual demands placed on leadership. ⁶⁵ Leadership must be "critical"--based

⁶² Burns, Leadership, *ibid.*, 116.

⁶³ Foster, *ibid.*, 42.

⁶⁴ *Ibid.*, 42-43.

⁶⁵ The following discussion is taken from Foster, *ibid.*, 50-56.

on the belief that human activity can be reconstructed rather than simply passed on unchanged. Leadership must be "transformative"--oriented toward social change. Leadership must be "educative"--showing new social arrangements while still demonstrating continuity with the past. The importance of a leader's "vision" is emphasized by the author:

Vision is another aspect of education. It is not enough to reflect on current social and organizational conditions; in addition, a vision of alternative possibilities must be addressed. Such a vision pertains to how traditions could be altered, if necessary, so that they meet human needs while still providing a sense of meaningfulness. This is perhaps the most crucial and critical role of leadership: to show new social arrangements, while still demonstrating a continuity with the past; to show how new social structures continue, in a sense, the basic mission, goals, and objectives of traditional human intercourse, while still maintaining a vision of the future and what it offers.⁶⁶

Leadership must be "ethical"--maintenance of a moral focus oriented toward democratic values within a community, both individually for and by the leader, and communally for the followers. Foster states that "Leadership is a consensual task, a sharing of ideas and a sharing of responsibilities."⁶⁷ As organizations face increasing demands for shared decision-making from internal and external constituents, there must be recognition of the necessity for greater sharing of responsibility and authority.

In summary, modern scholars emphasize the interpersonal

⁶⁶ Foster, *ibid.*, 50.

⁶⁷ *Ibid.*, 61.

nature of the leader-led relationship for its own sake, as well as for improved organizational growth, as decided by all participants. Such an emphasis contrasts with seeking higher organizational productivity as an end in itself. This change in emphasis may be a reaction to an excessive task orientation of the early industrial era, as detailed in early management studies; or, it may be simply a reaction to the perceived misuse of the relationship orientation to increase production. One modern management book--albeit with a business rather than an education focus but with a great education impact--emphasizes innovation and care of customers on a strong people base, centering on knowledgeable and involved leadership. ⁶⁸

Leadership is an elusive concept, the object of much debate, discussion, and disagreement. It can be described as defying all attempts at specific definition, but all would doubtless agree it is instantly recognizable in its presence as well as its absence. Research on leadership, its components, and its styles continues, using the best available tools. One such tool, **Leadstyle**, a training tool developed for analysis of organizational development, is now described.

C. Theoretical Foundations of **Leadstyle**

The survey instrument, a training tool called **Leadstyle**, was developed by Larry Hutchins and Lyn Hutchins. Its authors

⁶⁸ Tom Peters and Nancy Austin, A Passion for Excellence (New York: Warner Books, 1985), 5. See also Tom Peters and Robert Waterman, In Search of Excellence (New York: Warner Books, 1982).

declare that it

...pulls together key theories of leadership, personal style and group productivity, [but] its greatest strength is in its contribution to transformational change--change involving unprecedented shifts in organizational or personal behavior.⁶⁹

Leadstyle combines the formats of both Hersey-Blanchard's **LEAD**⁷⁰ and Blake-Mouton's Managerial Grid⁷¹. **Leadstyle** uses the term "responsiveness" in a fashion similar to the terms used to describe the vertical dimensions of "relationship behavior" (Hersey-Blanchard model) and "concern for people" (Blake-Mouton model.) The **Leadstyle's** term "assertiveness" corresponds to the horizontal "task behavior" (Hersey-Blanchard model) and "concern for production" (Blake-Mouton model.)⁷² Figure 2 shows the inter-relatedness of these theories with the **Leadstyle** framework.

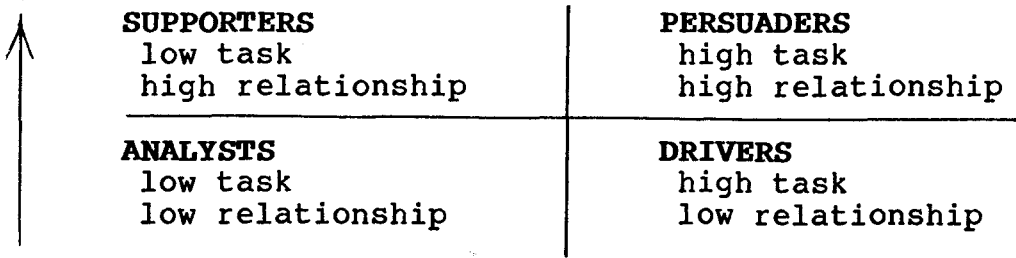
⁶⁹ Larry Hutchins and Lyn Hutchins, Leadstyle: Transforming the Future (Aurora, CO: By the authors , 1988), 1.

⁷⁰ The Leader Effectiveness and Adaptability Description (**LEAD**), Hersey and Blanchard, Management of Organizational Behavior, *ibid.*, 84 ff.

⁷¹ *Ibid.*, 95-97. See also Hoy and Miskel, Educational Administration, *ibid.*, 250-253.

⁷² Hutchins and Hutchins, *ibid.*, 11.

High People
High Relationships
High Responsiveness



Low People
Low Relationships
Low Responsiveness

Low Assertiveness
Low Results/Tasks

High Assertiveness
High Results/Tasks

Figure 2. Leadstyle ⁷³

An additional important factor in **Leadstyle's** development was the incorporation of various components of the **Myers-Briggs Type Indicator (MBTI)**. Based on work by psychologist Carl Jung, the theory of psychological types holds that

much seemingly random variation in behavior is actually quite orderly and consistent, being due to basic differences in the way individuals prefer to use their perception and judgment. ⁷⁴

By itself, the **MBTI** has many practical uses, including:

a. to increase understanding by "talking the language"

⁷³ Ibid.

⁷⁴ Isabel Briggs Myers and Mary H. McCaulley, Manual: A Guide to the Development and Use of the Myers-Briggs Type Indicator (Palo Alto, CA: Consulting Psychologists Press, 1985), 1.

of different types ⁷⁵ in the group;

- b. to learn the approaches that are most likely to earn agreement and cooperation from each type;
- c. to select teams, task forces, and work groups with sufficient diversity to solve group problems; and
- d. to conduct meetings so as to take advantage of the contributions of each type. ⁷⁶

The **Myers-Briggs** emphasis on perception has an important impact on how **Leadstyle** operates. Each **Leadstyle** survey respondent (elementary principal) in the present study, and each "other" in his/her response cohort, was asked for his/her perceptions of the respondent's leadership styles. The four points of the **MBTI** listed above are integral parts of the **Leadstyle** instrument and yield important information about different leadership styles.

This instrument is well-suited to the study of educational leaders and their attendant "other" constituent groups. The instrument will work as well with any work group which is in pursuit of a common, mutually agreed-on task. **Leadstyle** offers a useful combination of administrative and psychological elements for examining the role of leadership styles

⁷⁵ "The **MBTI** contains four separate indices. Each index reflects one of four basic preferences which, under Jung's theory, direct the use of perception and judgment." Ibid., 2. "...[T]here are specific dynamic relationships between the [four indices], which lead to the descriptions and characteristics of sixteen 'types'." Ibid., 2. Thus, "Type" refers to the perceptual and judgmental characteristics displayed most often by an individual.

⁷⁶ Ibid., 4-5.

as principals deal with change in school settings. It has sound antecedents based in accepted management training models as well as a validated psychological scale. While itself not yet nationally field-validated, **Leadstyle** has had use as a management training tool and offers promise as a training tool for prospective and practicing school administrators.

D. The Principal's Boundary Role

How the principal assumes and fulfills one of the diverse roles of leadership now is examined, paying close attention to how he/she seeks to meet the needs of diverse--and often opposing--constituencies.

Early references in the professional--mostly business school--literature to the "boundary" concept appear in texts and articles about stress, behavior, and role conflicts.⁷⁷

Boundary theory is predicated on the idea of a person --the boundary role person, or **BRP**--filling a role position between two groups, as one group's formal representative to the other. Each group is a "constituent." The BRP must represent or explain the often conflicting demands of each constituency to the other, and is frequently him/herself the object of mistrust and misunderstanding by one or both "opposing" groups. The BRP is often accused of abusing power

⁷⁷ Robert Kahn, Donald Wolfe, Robert Quinn, J. Diedrick Snoek, Organizational Stress: Studies in Role Conflict and Ambiguity (New York: Wiley and Sons, 1964). This is the major work consulted on the boundary concept. Please see the bibliography for additional references.

and manipulating information, again by one or both sides. In general terms, the farther away from the boundary between two opposing groups a constituent is, the less he/she grasps the importance and value of the boundary role. Conversely, the closer to the actual boundary, the more sympathetic to the BRP the constituent is likely to be.

The boundary role position has several potentially negative aspects. It can be filled with ambiguity because of the differences in values of opposing groups and the differences in perception about how the BRP should act. In addition, it can be a very unpredictable position because of shifting power bases of opposing groups, with resultant uncertainty for the BRP of his/her own power and status. Finally, it can be a target of mistrust, due to the perception by opposing constituencies that the BRP is favoring the position of one group over the other group, "selling out," as it were. The BRP is then forced to perform liaison or linking functions under very visible conditions, which satisfy the opposing groups' needs for accountability. Such openness can be positive or negative, depending on the goals the BRP is seeking to attain and the nature of the organizations between which he/she is performing the BRP role.

On the positive side, the boundary position can be a very exciting and exhilarating place, filled with potential for the BRP to be an active participant in, if not the initiator of, substantive organizational change. Internal

change may occur as the BRP presents the "new" position or idea of the opposing group to his/her own group, and the new position is accepted in part or total by the home group. The adoption of a new position signals a shift to a new internal level of growth and development. In this case, the phenomenon of a paradigm shift occurs. ⁷⁸ A paradigm shift means, in effect, that a state of personal or organizational existence, with its attendant premises, assumptions, and goals is abandoned in favor of a new set of premises, assumptions, and goals. A change in the BRP's status also occurs, where the BRP becomes the innovator. Of course, the alternate scenario may also occur, where the "new" is rejected in favor of the status quo, resulting in a change for the BRP to a position of mistrust and required higher visibility.

The principal, acting in the capacity of a BRP, functions as what one author calls a linking agent. Michael Fullan, in a thorough book on educational change, refers to internal and external linking agents who may "help teachers to adopt innovations which teachers want." ⁷⁹ The principal is such a linking agent when he/she acts as a BRP, and introduces new ideas from outside the school setting. Ironically, the very things which make the BRP valuable to the

⁷⁸ Thomas Kuhn, The Structure of Scientific Revolutions 2nd ed. (Chicago: University of Chicago Press, 1962).

⁷⁹ Michael Fullan, The Meaning of Educational Change (New York: Teachers College Press, 1982), 46.

organization's health and growth--the outside perspective, willingness to listen and try new ideas, interest in long-term optimal solutions, promotion of relationships rather than rules--are also the characteristics which make him/her an object of organizational dread, because the BRP represents change to the status quo.

The twenty Wisconsin principals who participated in the School Recognition Program, and who are the subjects of this study, clearly functioned as boundary role persons. Each was in a position of identifying innovative ideas in her/his school, collating these data and "selling" them to the agency in charge of recognition. There was doubtless "suspicion" on the part of the school constituents that the principal's role in gathering the data was not what it seemed--a simple bid for recognition as an effective school--but rather an attempt to promote change in the status quo--which, in fact, it often was. The principals needed to satisfy competing needs from their internal and external constituencies, and often walked a fine line as they sought change. In some cases, the simple gathering of data created a climate for internal change; in some others, staff needed to be persuaded of the need for basic educational practice change. The principals acted as linking agents, or BRPs, between competing ideas.

E. The Principal's Role in the Change Process

The manner in which the principal fills the role of change agent is now examined. The focus in the present study

is on an examination of the principal's leadership style and how it may have been related to broad changes in each school. Changes which were found to have occurred were changes by some school constituents in style, outlook or attitude . Any intended effects of participation in the School Recognition program were often overshadowed by unintended effects. The present study does not focus on any particular changes which might have occurred in the daily lives of schools.

Michael Fullan states that the principal's participation in the change process is critical:

As long as we have schools and principals, if the principal does not lead the development of an effective organizational process, or if he or she leaves it to others, it will normally not get done. That is, change will not happen. ⁸⁰

In a later article, the same author restates the case in terms of the principal's role behavior:

Finally, it might be stressed from an educational administration perspective that one of the primary reasons that the principal is crucial is related to the fact that implementation occurs in an organizational context. The principal as head of the organization is in a position to influence for better or for worse, by action or inaction, the organizational conditions which support or inhibit innovations from being initiated and/or taking hold in the school. ⁸¹

A Florida researcher, studying change implementation in

⁸⁰ Ibid., 146.

⁸¹ Michael Fullan, "Innovation and Educational Administration," in The International Encyclopedia of Education 1985 ed., Vol. 5, 2505-2510.

elementary schools, and the role of the principal as a member of each school's "change facilitation," or CF, team, observed:

However, given their authority, position in the organization, and the consistency of patterns in the data sets, this author is ready to conclude that school principals make a very important difference. Based on their CF style, they determine the upper limits of how much and how well the CF Team can accomplish its functions and concomitantly the degree of implementation success that is possible for their teachers. Principals with vision and intensive involvement, which is collaborative, have schools performing at higher levels. ⁸²

The CF team is a collaborative effort, with membership from several internal constituent groups in each school. The principal has a role which includes making final decisions, after all participants' views have been aired.

Looking at the principal's change role from the viewpoint of some of the principal's constituent, "other" groups who are affected by change, another researcher notes that

[t]he meaning that is assigned by the participants to the actions of the principal can make a major difference in the degree of implementation success with large-scale innovations. ⁸³

A corroborating finding is given by Fullan, that the observed behavior of the principal is critical to any change

⁸² Gene Hall, "The Principal as Leader of the Change Facilitating Team," Journal of Research and Development in Education 22 (Fall 1988) 1: 56.

⁸³ Roland Vandenberghe, "The Principal as Maker of a Local Innovation Policy: Linking Research to Practice," Journal of Research and Development in Education 22 (Fall 1988) 1: 69.

implementation success:

They [quoting other researchers] found that "projects having the active support of the principal were the most likely to fare well". Principals' actions serve to legitimate whether a change is to be taken seriously (and not all changes are) and to support teachers both⁸⁴ psychologically and with resources. ⁸⁴ (Emphasis in the original.)

There are many ways principals can have an impact on change, acting either to promote or block, accelerate or retard its progress. In Chapter III, there is an examination of the "blocking" role some leaders play, and its importance to the whole change process.

Principals are confronted daily by requests for change from their many natural constituencies, both internal and external. Principals may not know specifically what to do to implement change at the school level, and also may feel that others do not understand their problems. The principal, faced with a request for change, needs to ask three questions:

- * Who benefits from the proposed change?
- * Is the idea technically well-developed?
- * Will its implementation result in a change in practice? ⁸⁵

Writing in reference to change in schools, Fullan further notes that

⁸⁴ Fullan (1982), *ibid.*, 71.

⁸⁵ Fullan (1982), *ibid.*, 14.

educational innovations are not ends in themselves, but must be subjected to fundamental questions about their relationship to the basic purposes and outcomes of schools. ⁸⁶

Change is something schools need to accommodate.

There is a dynamic tension now between pressure for change and resistance to change. Pressure and resistance each can be both internal and external. The principal is cast by contemporary circumstances into the leadership role of change agent. The principal also serves as the boundary person or linking agent, mediating among sometimes conflicting ideas and constituencies, an important leadership function.

The interactive aspects of change are diagrammed in the figure shown here, from Fullan's book on educational change. While here depicted as a linear process, change is really multi-dimensional, with important leadership considerations at each phase.

Initiation <--> Implementation <--> Continuation <--> Outcome

Figure 3. Simplified Overview of the Change Process ⁸⁷

"Initiation" refers to a person or persons promoting a certain program of change. "Implementation" is a phase of attempted use. If implementation goes beyond a certain specified time frame, it is the stage of "continuation."

⁸⁶ Fullan (1982), *ibid.*, 22.

⁸⁷ Fullan (1982), *ibid.*, 40.

"Outcome" is the degree of school improvement achieved.⁸⁸

Fullan, in his seminal book on change, spends much time and space explaining the change process. He says, "the single most important idea arising [from figure 3] is that change is a process, not an event".⁸⁹ The principal is an important, and perhaps the prime, mediator of change in schools. From Fullan's lengthy discussion of the concept depicted as Figure 3, only two points are considered here. First, Fullan notes that the two-way arrows signify that change is not a linear process, but rather one in which

events at one phase can feed back to alter decisions taken at previous stages, which then proceed to work their way through in a continuous interactive way.⁹⁰

Writing about the interactive nature of a change process, Maruyama describes the impact of change on a system, using a cybernetic metaphor.⁹¹ Basically, cybernetics is the "science of self-regulating and equilibrating systems".⁹² Thermostats are the typical example of a cybernetic, or a "deviation-counteracting process." Maruyama states that just as important are the "deviation-amplifying processes."

⁸⁸ Ibid.

⁸⁹ Fullan (1982), *ibid.*, 41. Emphasis in original.

⁹⁰ Fullan (1982), *ibid.*, 40.

⁹¹ Magorah Maruyama, "The Second Cybernetics: Deviation-Amplifying Mutual Causal Processes," American Scientist 51 (June 1963) 2: 164-179.

⁹² Maruyama, *ibid.*, 164.

These are those events which

are loosely termed "vicious circles"...;in short, all processes of mutual causal relationships that amplify an insignificant or accidental initial kick, build up deviation⁹³ and diverge from the initial condition.

The change process in schools can be seen as an excellent example of the deviation-amplifying process. At each step of the process, each decision that is taken then filters back into the process, to have an eventual impact on the process itself, as well as on the outcome.

A second point raised by Fullan about the simplified figure concerns "the scope of change and who develops and initiates the change."⁹⁴ The initiation may come, as indicated above, from internal or external sources. Additionally, carrying through on the leadership ideas discussed above, the initiator may be any one of many change facilitators in the school, not only the principal--though his/her role is important.

Fullan dedicates a chapter to factors affecting adoption of a change. These can include the following: the existence and quality of innovations; advocacy or opposition from central administration, teachers and community members; participation of change agents and linking (boundary) agents;

⁹³ Ibid.

⁹⁴ Ibid.

and funding availability, internally and externally.⁹⁵

In a subsequent chapter, Fullan lists factors affecting the implementation and continuation phases. Some of the factors are the amount of demand for the change; the degree of clarity and complexity of the proposed change; how the adoption is presented; the local history of innovative attempts; plans for staff development; the roles of principal and teachers; and the planned time line.⁹⁶

Adoption, implementation and continuation factors all interact against a background of school realities and school politics. The principal, as one change agent among the many possible ones on the change facilitation team in a school, must understand clearly his/her role in light of those realities. Participation in the Recognition Program, for many of the studied principals, may have been a first change effort in their school, or it may have become the last.

Attitude toward school improvement is a kind of meta-variable related to whether the experience with the change effort increases or decreases people's attitude toward engaging in new school improvement programs--in brief, whether the experience has led people to conclude generally that it is⁹⁷ worthwhile to try and implement changes.

⁹⁵ Fullan (1982), *ibid.*, Chapter 4, "The Causes and Processes of Adoption," 40-53.

⁹⁶ Fullan (1982), *ibid.*, Chapter 5, "Causes/Processes of Implementation and Continuation," 54-80.

⁹⁷ Fullan (1982), *ibid.*, 78.

The principal plays many different roles as a change agent. Not least among them is the "cheerleader" role for the staff and programs. Balanced against this role is the need to periodically evaluate ongoing programs and staffing needs, with an eye to recommending changes.

While examining the role of the principal as a change facilitator, as part of some research on the change process elementary schools, Hall found that his subject principals practiced one of three change facilitator styles: initiator, manager, responder.

Initiators have clear, decisive, long-range policies and goals that transcend but include implementation of the current innovation.... Managers represent a broad range of behaviors. They demonstrate both responsive behaviors in answer to situations or people, and they also initiate actions in support of the change effort.... Responders place heavy emphasis on allowing teachers and others the opportunity to take the lead.⁹⁸

Hall indicates the particular role the principal assumes, from among the three above, has an impact on the degree of implementation. Schools whose principals used Initiator or Manager change styles had higher degrees of implementation than did schools whose principal adopted primarily the Responder style.⁹⁹

⁹⁸G.Hall, W.Rutherford, S.Hord and L.Huling, "Effects of Three Principal Styles on School Improvement," Educational Leadership 41 (1984) 5: 22-29, quoted in Hall, *ibid.*, 54.

⁹⁹Hall, *ibid.*, 53.

Hall describes the Change Facilitation team, with both internal and external members, with specific functions to fulfill if it is to introduce change successfully into the school. These functions include: sanctioning the change; providing needed resources; training staff who will be affected; monitoring; and approving adaptations.¹⁰⁰ The principal's active role as a CF team member is critical to eventual success.

In a more theoretical study, with a related focus and yielding similar results, another researcher found that the principal role as change agent fell into one of four types, as typified by the Local Innovator Policy (LIP) adopted at the local school level.¹⁰¹ The same author found that how the principal's change behavior--leadership style--was seen had an impact on the success of change implementation at a given school. This is reminiscent of the visibility factor discussed above in terms of the principal's role as a boundary agent, as well as reinforcement for the deviation-amplifying impact of the change process described by Fullan and shown in Figure 3.

The four LIPs identified by Vandenberghe as being used by the principals he studied were characterized by observable

¹⁰⁰ Hall, *ibid.*, 55-56.

¹⁰¹ Vandenberghe, *ibid.*, 71-74.

planning, interaction, risk avoidance or cooptation.¹⁰² The working definitions of these LIP terms follow:

- * Planning - systematic communication, heavy involvement by the principal;
- * Interaction - systematic interaction, using existing infrastuctures, paying close attention to local conditions;
- * Risk Avoidance - go slow, be careful;
- * Cooptation - no evidence of collaborative attitude, heavy use of outside experts.

The employment of these LIPs can be placed on a continuum for the studied schools. On one end is high implementation of change--typified by the "planning" LIP--and on the other end is low implementation of change--typified by the "cooptation" LIP. Again, a case is made for heavy, visible leadership involvement by the building principal in the change process.

Quoting another researcher, Vandenberghe states that

"school improvement is a learning experience for the adults who are staff members. Adults tend to resist or avoid new learning more than younger people; their world is already organized, and adopting and implementing new work habits or use of new educational methods take time."¹⁰³

¹⁰² Ibid., 71-72.

¹⁰³ U. Hameyer, "Transferability of School Improvement Knowledge: A Conceptual Framework," Mimeograph, Kiel:IPN, (1986) quoted in Vandenberghe, *ibid.*, 78.

These points are reinforced by observations made by Fullan, over a three-year time span.

Educational change depends on what teachers do and think--it's as simple and complex as thatThe quality of working conditions of teachers is fundamentally connected to the chances for success in change." 104

A later observation by the same author noted that "...successful change was not a matter of organizational or structural alterations if individuals within the organization did not change their behavior." 105

In summary, the leadership theorists considered here offer many, diverse and often conflicting role definitions for school leaders. The "ideal" world of participatory, site-based management and collaborative leadership runs head on into the rough-and-tumble political realities of daily school life. Pragmatic, hard-headed, unitary leadership wins out over the currently preferable, but slower and "softer," group decision-making process. In fact, the theoretical basis for the survey instrument, **Leadstyle**, is firmly grounded in business training models, save only the psychological aspects stemming from the **Myers-Briggs**. The boundary process also appears to originate from a business school background. The principal's change agent role, while not alone causative of teacher or building change, is instrumental in helping create the necessary conditions for change.

¹⁰⁴ Fullan (1982), *ibid.*, 107.

¹⁰⁵ Fullan (1985), *ibid.*, 2505.

CHAPTER III

PRESENTATION AND ANALYSIS

Introduction

The survey on which this exploratory study is based was distributed to twenty Wisconsin elementary principals whose schools had participated in the Elementary School Recognition Program in one of its first three years. Of the twenty principals originally contacted, thirteen or 65%, responded to the written survey. An analysis of the thirteen written survey responses revealed various anomalies. It was determined that investigation of these anomalies by means of a followup interview might yield useful insights into the study of leadership style.

Table 1 displays data for the entire thirteen-person written survey sample. Each principal was assigned a code letter to maintain confidentiality. Of the total survey sample of thirteen principals, three were at schools recognized as effective by the Department of Education's Recognition Program. All save one were elementary schools; middle schools may enter either the elementary or secondary competition.

Table 1. Data from Written Survey.

principal Code	Recognized 1	Interviewed 2	Sex 3	School Year Type
A			M	el. 1985
B		x	M	el. 1985
C			M	el. 1985
D			M	el. 1985
E		x	M	el. 1987
F	x		F	el. 1987
G		x	M	el. 1987
H	x	x	M	m.s. 1987
I			M	el. 1987
J	x	x	F	el. 1989
K			M	el. 1989
L			F	el. 1989
M		x	F	el. 1989

1. Schools recognized as "effective" in Recognition Program.
2. N Male = 4 or 66%; N Female = 2 or 33% of survey sample.
3. N Male = 9 or 69%; N Female = 4 or 31% of survey sample.

Table 2 displays more specific data for the smaller, six-person interview sample, including demographic data gathered at the time of the interview. The interview sample was representative of the entire survey sample.

Table 2. Interview Data.

Principal	Sex	Age Range	Educational Attainment	# Years Principal	# Years at Location
B	M	41-50	Ph.D.	12	22
E	M	50+	Ph.D.	10	5
G	M	41-50	M.S.	16	8
H	M	41-50	M.S.+	10	10
J	F	50+	M.S.	7	21
M	F	41-50	Ph.D.	5	4

The data are presented in the following order and format. Part A is a narrative treating how the survey respondents displayed Transactional **Leadstyle** characteristics. Part B is a narrative presentation on survey participants' display of Transformational **Leadstyle** characteristics. Part C is a narrative presentation of the interview data. Part D is an analysis of all data from both written and interview surveys.

A. Survey with Transactional **Leadstyle**

A brief recapitulation of the four Transactional **Leadstyles** or **TAs**, is given here: Driver accepts change and wants to get going with it; Persuader is an active advocate for change; Supporter does not advocate for or against change but wants everyone to be together on whatever course is chosen; Analyst does not oppose change but wants to be sure it is needed and that the direction the change is headed is correct.

In the written survey, the most frequently occurring TA was the Supporter. It received the highest "self" score for eleven of the thirteen principals, or 85% of the total survey sample, and was either the highest or second highest self score for 100% of the survey sample. Supporter also received the highest score for nine of thirteen "other" scores, or 70% of the total sample. It was the highest or second highest other score for 85% of the total sample. The Supporter occupies the upper left quadrant of the **Leadstyle** grid, high

on relationships and people, low on task. In this position, supporters "focus on personal issues and concerns. They accept decisions that are agreeable to others."¹ At a time of change, they tend to be cooperative, obedient, and supportive of the group. Supporters do their best work when harmony prevails and relationships among other group members are operating smoothly.

Hutchins and Hutchins, the survey instrument's authors, have this to say about the Supporter:

Supporters are high on people and relationships but less committed to change, sticking to the known and comfortable, if possible. They don't oppose change but they want everyone to pull together and deal with the interpersonal tension that results from change. If everyone is not working together, they withhold support, preferring the security of the existing position. Perhaps the best way to describe the Supporter's response to change is that he/she will go along with (support) what the majority wants to do. At the same time, they are emotive, exhibiting a high degree of warmth and personal concern.... Supporters commitment to consensus can be a liability when viewed in the context of the risk or speed that is involved in change.²

The overwhelming choice of Supporter as the most frequently occurring TA is not surprising, given the school context with its focus on relationships and bias for group consensus. It is revealing that a lower score was obtained by the Driver TA, the diagonal opposite of Supporter in the

¹ Larry Hutchins and Lyn Hutchins, Leadstyle: Transforming the Future (Aurora, CO: By the Authors, 1988), 15.

² Ibid., 12.

Leadstyle framework.

In the written survey, the least frequently occurring TA was the Driver. The low occurrence of self Driver scores was somewhat surprising since it might be assumed that for a principal to attempt to introduce a complex and time-consuming information-gathering process to teachers at the beginning of a school year would require him or her to be forceful or, as **Leadstyle** phrases it, high on task and low on relationships.

The percentage scores assigned to each Transactional **Leadstyle** by surveyed principals and their other respondents are displayed in Appendix D. The highest percentage score was named the primary or "dominant" **Leadstyle**. The dominant **Leadstyle** represents the leadership characteristic response chosen most often by the respondent principals. Any other **Leadstyle** may just as easily occur and may in fact show up as a tie or as a close secondary or tertiary **Leadstyle**. In this case, secondary and tertiary refer to the situation where several TAs have identical or close percentage scores.

Table 3 displays those combinations of TA choices where the dominant TA is listed first and the secondary TA is listed second in the pair. Table 3 clearly shows the most frequently occurring TA, the Supporter. In fact, a "zone of convergence" is evident, reminiscent of the "Zone of Acceptance" discussed at some length in a standard administration text. The Zone of Acceptance represents the area on a con-

tinuum of decision acceptability where "subordinates willingly implement directives." ³ Research on the leader behavior description questionnaire (LBDQ) is quoted, referring to the hypothesis that leaders high on consideration and initiating structure--the equivalent of quadrant I in the LBDQ, and the persuader quadrant in **Leadstyle**--have a wide zone of acceptance. Further, it is hypothesized that teachers likely will give a wide zone to a principal in LBDQ quadrant II, the approximate equivalent of **Leadstyle** Supporter. ⁴ A perusal of Table 3 reveals that the hypothesis is borne out, with high scores for both Persuader and Supporter.

Table 3. Tallies of TA combinations,
listing dominant and secondary TAs

	Self	Other
Driver-Persuader.....	0	0
Driver-Supporter.....	0	0
Driver-Analyst.....	0	0
Persuader-Supporter.....	1	0
Persuader-Analyst.....	0	0
Persuader-Driver.....	0	0
Persuader/Analyst-Supporter*..	1	0
Persuader/Supporter-Analyst*..	0	{1
Supporter/Analyst-Persuader*..	1}	Zone of {0
Supporter-Analyst.....	4}	Conver- {2
Supporter-Driver.....	0}	gence {1
Supporter-Persuader.....	6}	{4
Supporter-Analyst/Persuader*..	0	{1
Analyst-Driver.....	0	0
Analyst-Persuader.....	0	2
Analyst-Supporter.....	0	2

* TAs with a (/) have identical scores.

³ Wayne Hoy and Cecil Miskel, Educational Administration, 2nd ed., (New York: Random House, 1982), 230.

⁴ Ibid.

It can be inferred that the zone of convergence indicates an area of agreement between self and other on acceptable leader behaviors. If the inference is true, such agreement has implications for how smoothly a new idea or innovative practice is likely to be grasped and accepted by either or both of the self and other subgroups, since they appear to share points of view.

The convergence theme is elaborated in Table 4, showing the seven respondent principals for whom there was largely a convergence on the assignment of a dominant TA--Supporter--by both self and other.

Table 4. Convergence of self and other selection of the Supporter TA

Principal	Interviewed	Self	Other	Difference
C		91	93	2
F		91	85	6
G	x	91	83	8
H	x	83	83	0
J	x	83	77	6
L		91	82	9
M	x	75	69	6

It is apparent from the data shown in Table 4 that for seven of the thirteen respondents in the written sample, a convergence of choice on dominant leadership style emerged. Further, using the raw written survey data--from Appendix D--it appears that the mean difference between

self and other for all survey respondents is 14.8 points, but the difference between self and other for the pairs shown in Table 4 is consistently at 9 points or less. Thus, convergence of choice on the Supporter TA seems to be confirmed.

It can be inferred from what is known about similarity of viewpoints in work groups that convergence will improve the likelihood of a school's or work group's achievement of mutually agreed-on change or school goals. It can be further inferred that self and other subgroups share similar values about leadership styles.

Four-Square

The discussion of convergence flows naturally into a consideration of the "four-square", or **4S**, feature of **Leadstyle**. As previously defined, 4S occurs when the survey responses for an individual indicate that he or she has equal or approximately equal percentage scores in all Transactional **Leadstyles**.

The occurrence of the 4S event can be important because it can reveal the existence of conditions at a school conducive to change. Assume the principal and the people closest to him/her in outlook and valuing are in basic agreement about the means and ends for accomplishing long- and short-term goals. Then, it reasonably can be expected that change can occur at that school more smoothly than at a school without such convergence. Although such convergence exists, it may not

automatically guarantee the quick adoption of change; it does, however, greatly increase the chances that opposing sides will be able to air their point of view, leading to greater understanding and possible eventual adoption of some or all of a new idea. This, of course, represents the boundary position outlined previously.

In terms of actually accomplishing agreed-on goals in a given school setting, convergence of scores across subgroups is deemed to be of greater importance than the mere occurrence of a 4S situation. Convergence of scores across self and other subgroups gives a clear indication of values agreement about appropriate leadership behavior to accomplish organizational goals. It can be inferred that much discussion and negotiation will be eliminated in favor of quick action toward goal achievement. Table 4 showed that in seven of the total survey sample's thirteen cases, convergence occurred in the selection of the dominant **Leadstyle**, **Supporter**. Thus, convergence across the self and other subgroups is a desirable occurrence, boding well for relative ease of introducing and sustaining change in a school organization.

The Blocker Factor

As defined earlier, **Blocker** is a characteristic which may manifest in any **Leadstyle**. Blockers actively oppose change, preferring to maintain the status quo which they fear may be lost in a time of change. The **Leadstyle** authors state

[Blockers] may resist change because of its upheaval on their relationships; that is, they fear they will lose the support of others [a Supporter characteristic]. Or, they may disagree with the direction of change [Persuader]. Or, they may think the operational procedures will not work [Driver]. Or, finally, they may disagree with the information on which the rationale was based [Analyst].⁵

However, it should be noted that resistance to change is not necessarily bad. A proposed change actually may be detrimental to the organization, so the Blocker's position needs to be carefully evaluated. Consideration of the Blocker's position will allow a check on the organization's internal rationale and goals for the proposed change. Checking may reveal some part of the proposed change which could be eliminated or adjusted without seriously affecting the entire change proposal.

Among the total survey sample, there was great variation between the perceptions of blockage attributed to the subject principals by self and by other. Table 5 displays Blocker information in rank order by the amount of variation between scores for self and other and by deviation from a mean score. Three of the four female principals in the total survey sample appear at or above the median score, where perception of the amount of blockage may be said to be about equal between self and other. Two of the recognized schools' principals also appear there, as do four out of the six principals in the

⁵ Hutchins and Hutchins, *ibid.*, 18.

interview sample. The two remaining interviewees, with variations well above the mean, showed two to three times greater variation than the other four interviewees.

Table 5. Variation of Blocker scores

<u>Variation</u>	<u>Deviation</u>	<u>Self</u>	<u>Other</u>	<u>Principal</u>	<u>Sex</u>	<u>Interviewed</u>
0	0	33	33	G	m	x
1	.07	25	24	B	m	x
1	.07	25	26	H *	m	x
4	.31	16	12	K	m	
5	.38	8	13	M	f	x
7	.54	25	18	L	f	
<hr/>						
8	MEDIAN	.62	16	24	F *	f
<hr/>						
10		.77	8	18	I	m
<hr/>						
13	MEAN	1.00	33	20	C	m
<hr/>						
19		1.47	50	31	D	m
30		2.32	58	28	E	m
31		2.40	0	31	A	m
39		3.00	8	47	J *	f

* Recognized school

These data may be interpreted to mean that, in general, if Blocker scores are approximately equal between self and other, with average or less variation, a kind of standoff can be said to exist. Each subgroup may be said to believe that demonstrating some hesitance about the speed, amount, direction, or some other factor of a proposed change is an acceptable position to assume. Such compatibility may be labeled convergence. Larger than average variation between self and other Blocker scores, or divergence, may signal large disagreement about proposed changes.

Hutchins and Hutchins, the **Leadstyle** authors, point out that a high Blocker score for a respondent with a dominant supporter transactional **Leadstyle**--overwhelmingly the position of the majority of the survey respondents--may indicate fear of losing relationships and support.⁶ This insight from the instrument's authors may partially explain the high deviations from the mean exhibited by the principals at the bottom of Table 5. Additionally, from what is known about schools' social structure, and from the survey respondents' own responses, relationships are very important.

Regarding Blocker score and participation in the Recognition Program, no firm conclusions can be drawn. Nine of thirteen principals, or 69%, displayed little or no sign of Blocker score. Two of those nine were at schools which were recognized as effective; yet, so was Principal J, the bottom-most principal on Table 5, with the greatest variation in Blocker score. The Blocker score's importance may lie in the relationship between self and other scores for each principal. If the subgroup scores do not vary much in relation to each other, it may be inferred that the Blocker score is simply another example of shared viewpoints about proper leader behavior. Conversely, a large variation between self and other Blocker scores may signal disparate viewpoints, leading to conflict regarding goals and the processes to reach them.

⁶ Hutchins and Hutchins, *ibid.*, 36.

To this point, the study has dealt with here and now reality, based on "an exchange of valued things" ⁷ between unequals, called transactions. The next theme to be considered is that of transforming behavior, behavior that moves relationships from the mundane level to a higher plane. As previously described, in order for transformational change to occur, a paradigm shift also needs to occur. A paradigm shift takes place when an entire set of beliefs and behaviors is replaced wholesale, in exchange for a new set of beliefs and behaviors.⁸ As noted in Maruyama's theory of deviation-amplifying behavior ⁹, such large-scale changes in belief and behavior may be and often are caused by the small changes in one aspect of a situation, which go unchecked and evolve.

B. Survey with Transformational **Leadstyle**

No Transformational **Leadstyle** (TF) emerges as a dominant choice for self or for other. Rather, patterns seem to emerge rather than individual TFs.

Just as the study of Transactional **Leadstyle** reveals how principals and others deal with change through simple transactions, the examination of Transformational **Leadstyle**, or

⁷ James MacGregor Burns, Leadership (New York: Harper and Row, 1978), 19.

⁸ Thomas S. Kuhn, The Structure of Scientific Revolutions 2nd ed. (Chicago: University of Chicago Press, 1962), 10-24.

⁹ Magorah Maruyama, "The Second Cybernetics: Deviation Ampli-fying Mutual Causal Processes," American Scientist 51 (June 1963) 2: 164-179.

TF, posits new relationships uncovered and developed when the organization, through its members, moves to "higher levels of morality."¹⁰

Four TFs are defined in the **Leadstyle** instrument. The reader is referred to Figure 1 on page 11, for an overview of the relationship of Transactional and Transformational **Leadstyles**, in a framework of task and relationship functions. The end result of the emergence of any or all of these leadership styles is the creation and constant renewal of an "organizational culture that helps employees generate a sense of meaning in their work."¹¹

The TFs function at all levels simultaneously, rather than sequentially as do the TAs. There are neither hierarchy nor discrete functions, but rather integration and reintegration as tasks evolve and groups emerge, do work and dissolve only to reemerge as new work groups with new tasks.

The transformational leadership necessary to control such shifting and changing is based on a reconceptualization of old behaviors, really a paradigm shift from impersonal management of human and physical resources for maximum outcomes, to an intense involvement of people at all levels in defining their common goals and pace of achievement. By its very definition, transformational leadership goes beyond the

¹⁰ Burns, *ibid.*, 20.

¹¹ Warren Bennis and Burt Nanus, Leaders: The Strategies for Taking Charge (New York: Harper and Row, 1985), 218.

familiar forms toward other as yet undefined forms. But unfamiliarity and vagueness about the exact shape of final outcomes is not a barrier, if change from a dysfunctional system of the past toward a future mutually agreed on by a work group is part of the desired goal. Changing from one viewpoint to another does not involve a clean break, and is not simple. Dramatic changes require time, patience, and a leader who can serve a boundary, or interpretive, role for the work group as it explores new ideas, roles and processes.

As indicated in Chapter I, a four-square (4S) pattern is desirable, since its appearance reveals the probable existence of transformative leader behavior. Many 4S patterns were observed to occur in the Transformational (TF) **Leadstyle** survey responses, although no TF was dominant. As indicated elsewhere, Transformational **Leadstyles** seem to occur simultaneously rather than sequentially, as do Transactional **Leadstyles**.

Each of the thirteen principals had four possible self scores, or fifty-two scoring possibilities. Forty-four of the scores were in the 75%-100% range, and twenty-seven were at a solid 100%. This means that 86% of the surveyed principals saw themselves as operating at 75%-100% level in Transformational leadership style. It is not clear from the instrument authors' analysis whether the 75%-100% percentage refers to amount of time or level of effectiveness; if the latter, using what unit of measurement? A discussion follows the data.

Six of the total thirteen surveyed principals scored themselves at 100% in three TFs--Principals B,C,E,I,K, and M --and Principal J scored herself at 100% in all TFs. Three of the Principals' other respondents scored them with nearly four-square designations--Principals E,F, and M. A brief discussion follows of some of these data. See Appendix E.

Principal E, described in the preceding Transactional Leadstyle discussion as a Blocker and a powerful person in his school district, earned from his other respondents TF scores which indicated they perceive him as a transformative leader. As can be seen in the Interview section to follow, the 4S designation for Principal E is somewhat anomalous.

Principal F was chosen by her other respondents as being four-square in the TF, though not in the TA analysis. This principal self-scored at 100% in only two categories. It may be of some interest to note that three of the four female principals surveyed earned the 4S designation, two from their own self score and one from her other group.

Principal M, whose other group came closest of all surveyed principals' other groups to giving a 4S designation in the TA analysis, gave her the identical ranking in the TF analysis. This minority female stated in the followup interview that she was constantly being "tested" by colleagues in her first year as a principal. The 4S designation, in both TA and TF analyses, by her current colleagues may put to rest her notions of antagonism.

Finally, Principal J, scoring herself as 4S in her self TF responses, also emerged as being nearly perfectly 4S in her other TF scores. Yet, it must be noted that she also earned the highest Blocker score from her other group, as well as the highest other Driver score. Principal J and her other subgroup demonstrate widely differing perceptions of her leadership behavior, but appear to agree that she is having an impact on her school and her colleagues. It must be recalled that not only did she and her school compete in the School Recognition Program, but they succeeded in being selected for inclusion.

Within the three-strand framework for analysis noted in Chapter I, this section of the presentation of data focuses on group productivity. The responses of the surveyed principals and their "other" work group indicated that the principals tended to act in transforming ways, rather than in one transacting mode only. That is, principals were more likely to operate in a four-square pattern, with nearly-equal emphasis in all four styles, than to demonstrate any one "dominant" style, as with transactional styles.

Within the idealized framework of informed individual participation and involvement in organizational decision-making, the discussion of TF focuses more on an overview and analysis of the transformative process than on an interpretation of any product resulting from that process. For example, the following brief discussion is an analysis of how the surveyed and interviewed principals exemplify trans-

formational leadership styles rather than on what was accomplished by their participation in the Recognition Program. This focus is not intended to denigrate the schools' achievements; rather, it is to celebrate the process begun, of initiating a paradigm shift on the local level by having engaged in the empowering step of participating in a national program, whether or not the school was recognized.

Hutchins and Hutchins indicate that "transformative change requires simultaneous action in all four **Leadstyle** areas." They are "continuous, interactive processes that may all occur simultaneously or in different sequences. In effect, transformational leadership must be "four-square"--working in all four quadrants at once." ¹² This model is in opposition to that of Transactional **Leadstyle** where, under the old paradigm, events occur more or less sequentially, requiring a predictable response from each participant in the transaction, resulting in a more or less predictable outcome. Conversely, the very essence of transformative change is its opportunistic, synergistic nature, requiring not rigidity or predictability of stimulus or response, but rather "that each of us learn **Leadstyle** flexibility, using our natural strengths and abilities to adapt our behavior to the required group productivity."¹³ Each individual's contribution to the group productivity is essential in the transformative state.

¹² Hutchins and Hutchins, *ibid.*, 51.

¹³ *Ibid.*

Patterns and Transformational Leadership

The role of relationships is an important part of this leadership study, especially as displayed by male and female participating principals. In a study reported by Gilligan, research was conducted about the playtime activities of elementary, middle class children. Briefly, the researcher observed that through play, boys learn to develop and follow rules while girls develop and follow relationships. The researcher concludes that

from the games they play, boys learn both the independence and the organizational skills necessary for coordinating the activities of large and diverse groups of people....In contrast, girls' play tends to occur in smaller, more intimate groups....This play replicates the social pattern of primary human relationships in that its organization is more cooperative. Thus, it points less in [George Herbert] Mead's terms, toward learning to take the role of "the generalized other," less toward the abstraction of human relationships. But it fosters the development of the empathy and sensitivity necessary for taking the role of "the particular other" and points more toward knowing the other as different from the self. ¹⁴

An examination of Tables 6 and 7 sheds more light on the search for a pattern among the TFs. Table 6 displays a list of all surveyed principals, ranked according to the amount of variation between average self and average other TF scores, derived from data shown in Appendix E. These

¹⁴ Janet Lever, "Sex Differences in the Games Children Play," Social Problems 23 (1976), 478-487, quoted in Carol Gilligan, In A Different Voice (Cambridge, MA: Harvard University Press, 1982), 10-11. Emphasis added.

numbers are also taken from the individual results sheets for each principal, where they are presented under the heading "Transformational Leader Total."

An examination of Table 6 shows five principals with a ten-point or less difference between self and other total scores--Principals E, F, G, H, and K--and five principals with a thirty-point or greater difference between self and other total scores--Principals J, M, B, I, and A. From this evidence, two inferences can be drawn. First, it can be inferred that small differences across self and other subgroups, as in the cases of the principals with a ten-point or less difference, indicate agreement on TFs. Thus, following this pattern, it can be assumed that in the presence of variations < 10 between self and other, there are likely to be harmonious relations, based on general agreement on preferred transformational leadership styles.

Second, it can be inferred that large differences across self and other subgroups, as in the cases of the principals with a thirty-point or greater difference, indicate disagreement on Transformational Leadstyles. If true, and there is no evidence it is not true, then it can be assumed that in the presence of variations > 30 between self and other, there are likely to be discordant relations due to lack of general agreement on preferred transformational leadership styles. These two inferences can easily be examined by inspecting the data found in Tables 7A - 7D.

Table 6. Variation of Transformational Leadstyle Scores

<u>Principal</u>	<u>Transformational Leader</u>		<u>Variation</u>	<u>Deviation</u>
	<u>Self Ave.</u>	<u>Other Ave.</u>		
E *	93	94	1	.04
F(R)	87	90	3	.14
G *	81	76	5	.23
H(R) *	62	68	6	.28
K	93	85	8	.37
L	62	79	17	.79
-----MEAN-----				
D	68	46	22	1.02
-----MEDIAN-----				
C	93	68	25	1.16
J(R) *	100	68	32	1.49
M *	93	58	35	1.63
B *	93	57	36	1.68
I	93	53	40	1.87
A	31	79	48	2.24

(R) Recognized school. * Interviewee.

Table 7A demonstrates, for each low-variation principal, agreement on self and other TF. For each subgroup, the TF selected was the one which accorded to both self and other a high score. In the case of a tie, that TF which agreed with the other subgroup's highest score was selected. Of some interest are the findings shown in Table 7B, of TA dominant scores for the same five principals whose scores were examined in Table 7A. In 7B, in each case and across self and other subgroups, there was agreement on the selection

of the dominant TA. Thus, in the cases of both TF and TA, the inference that small variations indicate basic agreement on leadership styles is affirmed. In Table 7A and 7B, all cases had a positive sign, indicating agreement. In addition, the inference about harmonious relations was also verified by means of personal interviews.

The five high-variation principals' cases are examined in Tables 7C and 7D. Table 7C reveals inconclusive results in four out of five cases. Only for Principal A is there clear lack of agreement on a TF. In the remaining four cases, the great number of ties in the self subgroup made it impossible to draw any firm conclusions about the original premise concerning discordant relations. It will be recalled the premise stated that large variations between self and other concerning preferred leadership behaviors would lead to disagreement.

Table 7D, by contrast, for the same five principals, did reveal three cases for TA in which there was lack of agreement about a dominant TA. Moreover, in the case of Principal B, there occurred what Hutchins and Hutchins refer to as a "caustic cross."¹⁵ From the earlier definitions, it will be recalled that caustic cross refers to the case where two **Leadstyles** are equally strong but are diagonal opposites. This will likely lead to internal conflict if they occur in

¹⁵ Hutchins and Hutchins, *ibid.*, 52

Table 7A. Dominant Transformational Leadstyle:
Principals with TF deviation < 10.

Principal	Self				Sign	Other			
	Cat	Vis	Emp	Strat		Cat	Vis	Emp	Strat
E *	100	75	100	(100)	+	93	93	93	(100)
F	75	(100)	100	75	+	93	(93)	87	87
G *	75	75	(100)	75	+	81	62	(81)	81
H *	50	75	50	(75)	+	50	68	68	(87)
K	100	(100)	75	100	+	75	(93)	100	75

Table 7B. Dominant Transactional Leadstyle:
Principals with TF deviation < 10.

Principal	Self				Sign	Other			
	Dr	Pers	Sup	Anal		Dr	Pers	Sup	Anal
E *	58	100	91	(100)	+	66	81	85	(95)
F	33	75	(91)	58	+	55	85	(85)	83
G *	16	25	(91)	75	+	20	62	(83)	70
H *	0	58	(83)	58	+	20	55	(83)	56
K	8	66	(91)	83	+	29	72	(78)	60

Table 7C. Dominant Transformational Leadstyle:
Principals with TF deviation > 30.

Principal	Self				Sign	Other			
	Cat	Vis	Emp	Strat		Cat	Vis	Emp	Strat
J *	(100)	(100)	(100)	(100)	?	75	(87)	50	62
M *	(100)	(100)	(100)	75	?	58	(66)	50	58
B *	(100)	(100)	75	(100)	?	(87)	37	31	75
I	(100)	(100)	(100)	75	?	(75)	50	18	68
A	0	25	25	(75)	-	(100)	50	93	75

Table 7D. Dominant Transactional Leadstyle:
Principals with TF deviation > 30.

Principal	Self				Sign	Other			
	Dr	Pers	Sup	Anal		Dr	Pers	Sup	Anal
J *	16	58	(83)	58	+	74	60	(77)	76
M *	16	58	(75)	75	+	60	58	(69)	55
B *	50	(100)	91	66	-	43	58	56	(66)
I	16	50	(91)	66	-	37	49	43	(64)
A	0	16	(50)	25	-	12	58	87	(89)

* Interviewed principal. () Highest-Score TA or TF.

the same person, or external conflict if they occur in opposing subgroups. Again, as in the cases noted above, three personal interviews were conducted with high-variation principals.

Thus, in a school setting, in terms of the **Leadstyle** transactional and transformational leadership framework, plus considering the context of the prior discussion of the four-square event, it is clear that paying attention to relationships is a very important aspect of transformational leadership. Paying close attention to "the particular other" and being empathetic to others' points of view are high relationship functions.

C. Interviews

This part of the research design focuses on the personal interviews conducted with selected principals from the total thirteen who participated in the written survey. The purpose of the interview was to determine what impact, if any, the principal's **Leadstyle** had on his/her school's participation in the Elementary School Recognition Program, by enhancing the information gathered in the written survey.

Interviews were conducted by telephone, each lasting an hour or more, and following the format found in Appendix

C. Interviewees were selected using the following criteria:

1. the most frequently occurring Transactional **Leadstyle**, that is, **Supporter**;
2. convergence or divergence of self and other TA scores;

3. convergence or divergence of self and other Blocker scores;
4. discrepancies between self and other scores on one or more TAs;
5. occurrence of a four-square (4S) event;
6. similarities or differences across TA and TF results reports; and
7. sex of surveyed principal.

This section focuses on broad interview categories and patterns of responses among the six interviewed principals. The responses include general and specific comments regarding similarities and differences among the principals which emerged in the course of the interview process. The broad categories which are expanded are as follows:

- * Demographics;
- * Factors which interviewed principals believe enable or thwart their job effectiveness;
- * Local district conditions, including general climate for change, which interviewed principals believe facilitate or block their change efforts;
- * Principals' perceptions of their role as change agent, specifically in relation to initiation of new programs or projects like the Recognition Program;
- * Intended long- and short-term goals for the interviewed principals' schools' Program participation;
- * Unintended side effects, problems, and organizational

- changes resulting from Program participation; and
- * Unique experiences of the interviewed principals.

Demographics

All the interviewed principals are over forty years old, with two over fifty. The average number of years as a principal is ten, with a range of five to sixteen years. Almost all principals are active in local or state professional educational organizations, with three of the six serving on state convention planning committees--an indicator of a high level of professional involvement and instructional leadership. Each principal has at least a Master's degree in administration, and three have a Ph.D. The principals' schools average 515 students in three distinct grade configurations: three schools are K-5, two are K-6, and one is a middle school. Only three principals have an assistant, but the others each want one.

Factors Affecting Principal Effectiveness

Principals were asked to identify and comment on any factors they believe enable or thwart an elementary principal's ability to effectively carry out his/her job responsibilities. It was an indirect means of asking the selected principals to comment on their own effectiveness. It may be presumed that the principals' responses reflected their own outlooks about themselves and how they accomplish their own jobs.

Enabling Factors

Five of the six principals reported that a principal needs strong people skills, including listening, patience, and involvement with all constituencies. Two individuals mentioned the importance of actively involving all parties in the decision-making process. Three principals believed that establishing and maintaining a smooth-running organization freed them to engage in instructional activities. One principal gave many examples of how staff and central office--in that order--support enabled him to pursue new ideas. Even though not many specific examples of enabling factors were given by principals in response to this question, there was a positive attitude very evident in the tone of the responses. These people appeared to be at ease with their position, with the support they enjoyed, and not too worried about obstacles.

Thwarting Factors

The universally-proclaimed number one obstacle to being an effective principal was given as lack of time, followed up immediately with regrets about spending time on time-consuming trivialities. Other responses included the existence of a dramatically changing student population, including increasing numbers of children at risk, together with increasing enrollments and decreasing budgets. Organizational complexity and the need to know so many things so well were noted. The rapid recent growth of external demands from both agencies and individuals were also voiced as problems.

Taken as a whole, this group of interviewed principals displayed the full range of Transactional and Transformational **Leadstyles**. Their responses actually describe how they are able to function as effective principals. On top of all the long- and short-term demands of running a school, these individuals are able to be innovators and initiators of change. Of course, they need to function in an environment, and change is easier in a supportive environment.

Local Conditions

When asked about the climate for change in their district, five principals indicated it was favorable, with one stating that change is an expectation. The sixth principal indicated the local climate ran the gamut from cool to hot, depending on many factors of a given situation under consideration for change. Factors mentioned included politics of who proposed the change, budget, constituencies to be affected, and intended and unintended side effects.

Half the interviewed principals commented favorably on superintendent and school board support as providing facilitating conditions for change. They also singled out staff willingness to work extra hours on a new program or project like the Recognition Program as an important contribution to local climate. A lack of time was again singled out as a serious thwarting factor or obstacle which would complicate achievement of any special program. It can be inferred here

that any gesture which offers release time to principals, or which saves time would be seen as a favorable local condition.

Identification of thwarting factors turned out to be a mixed effort. Some factors were stated explicitly and others had to be inferred from omissions. The principals' responses confirmed their self and other placement in the Supporter / Empowerer position derived from the written survey process. Again, the overall tone of the interviews was upbeat and very positive. These are individuals who are accustomed to having an impact on their surroundings and the people with whom they work.

The Principal As Change Agent

All the interviewed principals initially presented the Recognition Program idea to their teachers to see if participation was desired. The idea was offered as optional rather than mandated, although in three districts the superintendent had suggested participation, and in one district participation in the program met a board requirement for writing up annual goals. In two other districts, participation in state or national recognition programs is highly valued.

Yet, in every instance, each principal stated that he/she would not have attempted Program participation without full staff support. All the initiating principals acted as Persuaders in this situation, although only one of them had selected Persuader as his dominant TA in the written survey. None of the "other" responses selected Persuader as the dominant TA.

Two principals stated they saw their major function as a change agent to "plant seeds" and create the right conditions for germination and growth. In both cases, time to germinate was mentioned as an important factor, with a clear implication that they created time for staff to grow new ideas. Three other instances of intricate in-house unit leader and school effectiveness team systems, with weekly meetings and summer renewal sessions, were reported by principals. Such practices encourage excellent two-way information flow, and solidly locate these principals in the Supporter role in these situations. In point of fact, Supporter is precisely the dominant role of four of the interviewed principals. This is further reinforced by the fact that two Principals and their "other" respondents also agreed on dominant transformational Leadstyles.

With regard to Recognition Program participation, one principal's private agenda was to have the staff create what he called a "style statement," which would capture the essence of what their school was all about; in other words, a "vision" of how the school should operate. The Recognition Program seemed an ideal vehicle to generate a statement about the school's corporate culture, to which teachers, students, and parents could subscribe.

Interestingly, how this Principal accomplished the writing of the style statement was to write it himself, give

it to his staff to review, and then to parents. Once agreed on by all parties, he had a plaque made to hang in the staff lounge. During the interview process, this principal made statements about consensus building and group building, but his actions as he described them were much more directive than facilitative. Yet, despite his self-described behavior style, his other subgroup gave him a four-square (4S) TF score, with high percentages. This would indicate that he is perceived by his staff to be operating as a very effective transformative leader. This contradicts his admitted actions which are very directive and almost autocratic. His interview comments may not have been totally revealing of his actual day-to-day leadership style, but rather somewhat facetious.

This principal's case illustrates the dynamic tension existing in a school setting between a change agent, or change facilitator, and the process to be changed. A vision of change needs to be imagined, communicated, discussed and acted on. The source of the vision was previously thought to be only the organizational leader, who saw the big picture. Modern leader theory posits participatory management and agreed-on goals, as exemplified by transformational leadership styles.

When asked how staff reacts to communication of a new vision, none of the interviewed principals answered very enthusiastically. Responding in a lukewarm fashion, four principals stated that staff respond favorably to the introduction of change ideas, trusting that the principal will

understand their needs, and not involve them in the pursuit of unrealistic or unattainable goals.

Intended Outcomes

Half of the interviewed principals revealed that their motivation for participation in the Recognition Program was simply to gain recognition for the excellent things they believed their staffs were doing. Principal H observed that middle schools, as new educational configurations in his part of Wisconsin, were looked upon with some "suspicion" because of novelty. He entered the Program in the hope that, if recognized as an effective school, the work he and his staff were doing would be seen as acceptable and they would be able to spend time more profitably designing and running a school for early adolescents, and less time justifying their program. His confidence in his staff and program were justified, and since his school was recognized, the middle school is now accepted as normal.

Principal E participated because he desired to improve internal communication, to improve services to children, and to refine school management at his school. This is a relatively new school, with what amounts to a hand-picked staff, which was nevertheless seen as being in need of improvement. Another principal used Program participation as a way to document where the school was in terms of several internally generated "quality indicators," and where the staff felt it was headed. In short, this school used the

process to provide itself a snapshot and a road map.

Principal G seemed to be solidly in touch with his other subgroup, at least judging by the similarity of scores across subgroups for both TA and TF. He was the only one of the six interviewed principals to state an educational goal for participation in the Recognition Program. His school's stated goal was to locate usable alternative teaching and learning styles to substitute for traditional workbook-textbook instruction.

The outcomes intended by the principals may have been different from those in the Program application, but they clearly were understood by participating staff. The principals' outcomes emerged in the assembled data and in the responses to the interview questions.

Unintended Outcomes, Side Effects and Changes

Two principals reported that large amounts of newspaper and television coverage resulted from their Program participation. Principal G, whose school did not gain national recognition, seemed to feel that the publicity was embarrassing and created more resentment than it did good will. In fact, he saw it as a problem--the only principal who cited any problem at all--and did not ask his staff to participate the next year the program was available. The other principal, whose school was recognized, felt the publicity was positive and helpful for recruiting families to the district.

Four principals believed the act of participation itself

was conducive to the creation of good internal feelings. Their staffs felt good about having accomplished some major, practical research about themselves, and to have been nominated for possible national recognition. One principal even went so far as to state that Program participation had made his job easier because a document was produced which showed internal as well as external constituencies what the big picture was. This, in turn, created better comprehension of how the school as a unit worked, and why certain decisions had been made.

Principal H, the middle school principal, felt that major unintended side effects occurred, and called his school's participation a two-edged sword. First, parents said, "If our school is so good [because of recognition], then why does (x, y, or z) 'bad' situation still exist there?" On the other hand, teachers, in response to suggestions for trying innovative programs, expressed resistance to change because their school had been recognized as effective as is. Yet, Principal H did not see either of these two extreme constituent positions as barriers to future change or growth. In fact, he seemed to relish the challenges they represent.

This can-do attitude pervades the outlook of the entire interview sample, and it can be surmised that it might appear in the entire survey sample were it to be interviewed as well. What would be barriers to other people were seen by the survey sample as challenges and as opportunities for growth. Unintended or unplanned side effects were chances offered for

growth and change, and were laughed about rather than cursed. These principals seemed to thrive under adverse conditions, looking for places to use the deviation-amplifying concept to make change even grander than that originally intended.

Unique Experiences

Each of the six interviewed principals had his/her own perspective on what made him/her unique. Unfortunately, this question was not asked of the "other" survey respondents--superintendents, peer principals, teachers--so there is no way of cross-checking the principals' responses and self perceptions.

Three principals felt they were in the center of their school's life, and that teachers put high expectations on them because they put high expectations on themselves. One stated that because of his state professional association role, his staff believed he should be knowledgeable about many issues, an expectation he found to be somewhat burdensome. Principal E was not sure he and his staff shared the same vision--clearly, he felt his was the correct vision--and maybe there needed to be staff turnover, presumably to better align staff with his vision, his "style statement".

The two female principals in the interview sample, Principals J and M, each stated independently that she believed her sex was the unique factor in her role as administrator. One had been in her district twenty-one years but only seven in her current position. The other, by her own account a

minority group member, with five years as principal and four in the present district, stated she constantly felt herself tested on her knowledge base as an administrator.

Both women earned high Driver scores from their other respondent subgroup; for each there was a large difference between her self and her other Driver scores. Table 8 shows variations in TA self and other Driver scores for all surveyed principals. An examination of the data in Table 8 shows that Principals J and M may indeed be correct in their perceptions that sex has a strong influence on how each is perceived in her district. In comparing scores for Persuader, Supporter and Analyst, there is little discernable difference between the scores of Principal J or M and the scores of any other principal, male or female. Principals J and M were chosen for interviews partly because of the large Driver score discrepancy, and a desire to learn what might be causing it. No conclusions were drawn, though speculation might proceed along these lines: for a woman to be successful in a traditionally male-dominated profession like school administration, she needs to be very knowledgeable and/or she needs to be tough enough to last on the job. The catch for these women is that they may be held to two standards: one for men in similar positions and one for women who are believed to be oriented more to relationships than to rules, as is

explored in the next section.¹⁶ If the women meet the men's criteria, they may be perceived to be lacking as women--not feminine, etc. Yet if they meet the women's criteria, they may be perceived to be incapable of holding a "man's job."

It is interesting to note that two of the interviewed male principals also have high Driver scores from their other group, but with a smaller difference between their self score and their other score than does either Principal J or M. Neither Principal J nor Principal M saw herself as very high in the Driver category when asked during their interviews.

One of the selection criteria for the interview was Blocker score. For Principal M, the self and other Blocker scores were very close--a self score of 8 and an other score of 13--with the small 5-point difference showing a convergence of perception.

The close score for Principal M can be contrasted with the great difference between Principal J's self score of 8 and her other score of 47, a 39-point divergence. This is the largest divergence on Blocker score of all thirteen surveyed principals. Coupled with a large divergence in Driver scores for Principal J--self, 16 and other, 74, a 58-point spread--the data make it tempting to conclude that Principal J and her staff do not agree on her practice of leadership. Yet, it must be recalled her other gave her a four-square Transformational

¹⁶ Carol Gilligan, In a Different Voice. (Cambridge MA: Harvard University Press, 1982), 10-11.

Leadstyle designation, plus her school did receive national

Table 8. Variation of Driver Scores.

<u>Principal</u>	<u>Sex</u>	<u>Self</u>	<u>Other</u>	<u>Variation</u>	<u>Deviation</u>
G *	M	16	20	4	.2
B *	M	50	43	7	.35
E *	M	58	66	8	.4
D	M	41	31	10	.5
A	M	0	12	12	.6
L	F	8	20	12	.6
-----MEAN-----					
H *	M	0	20	20	1.0
-----MEDIAN-----					
I	M	16	37	21	1.05
K	M	8	29	21	1.05
F	F	33	55	22	1.1
C	M	33	10	23	1.15
M *	F	16	60	44	2.2
J *	F	16	74	58	2.9

* Interviewed Principal

recognition as an effective school.

Additional Interview Questions

A short, final series of questions was asked of the six interviewed principals. The questions related to the principal's own perception of his/her own **Leadstyles**, together with the principal's perception of how his/her other group might have rated the principal's TA and TF. The purpose of asking these questions was to determine how accurately the

principal would perceive his/her own leadership style. Further, it was an attempt to see how closely the principal was in touch with his/her other group.

In only one case was the interviewed principal's perception of self and other Transactional score completely correct. In two other cases perceptions were confirmed partially, for one principal's self score and for another principal's other score. Correct "guesses" about how their other group ranked them as transactional leaders may indicate these principals have good relations with their other groups.

There was no such convergence, either perceived or actual, among self or other scores for Transformational Leadership. Because of the frequent occurrence of 100% rankings in the self category, it is not possible to isolate a dominant TF score for self. More often than not, principals' responses to this question revealed a lack of practical and theoretical understanding of the concept of transformational leadership.

Another interview question related to perception by each principal of his/her Blocker status. In four of the six interviews, the principal correctly perceived the actual outcome of his/her self and other Blocker score. Every interviewed principal stated that neither self nor other score would reflect that he/she was a Blocker, and four were correct. One principal through his responses to the written survey, earned the highest self Blocker score of any of the thirteen surveyed principals. A female principal earned from her

other the largest Blocker score of any of the thirteen surveyed principals. Again, as in the case of the interview questions regarding perception of Transactional and Transformational Leadstyle scores, the questions about Blocker scores were designed to determine how well the interviewed principals knew their other group.

A final set of questions related to challenges now faced by the schools of the interviewed principals, resulting from their participation in the Recognition Program. Three of the principals stated they are experiencing no new challenges they would identify as directly related to Program participation. These three did indicate there are new district programs which are having an impact on their schools and staffs: restructuring, dealing with inadequate facilities, and implementing a new grade configuration.

The other three interviewed principals however, clearly saw positive and obvious results related to their school's Recognition Program participation. One, the middle school principal, stated that he knew "going in" to the Program that his school's involvement would only reinforce his vision of the direction in which he wanted his school to move. He believes that participation has encouraged him and his staff to broaden their training and to try new teaching styles.

Another principal said his school is now experiencing high district expectations for further active involvement, due to his school's Program participation. Further, his school

staff is more willing now to listen to and try new ideas than they were prior to participation.

The third principal indicated that she and her staff are more focused now on what their school is seeking to accomplish. Also, Program participation has made it easier to train new staff in meeting the school goals, which are now in written form.

In all cases, participation in the Elementary School Recognition Program has had an impact of varying degree on central office and parent perceptions of each school. But only in half of the interview sample is the principal taking an active stand to promote some innovative project because of his/her school's Program participation.

D. Analysis of Survey and Interview Data

The framework for analysis of the survey and interview results follows a three-strand approach, within a context of participation in the Elementary School Recognition Program of the U.S. Department of Education. The three strands are Leadership, Personal Style, and Group Productivity, as related to change in schools.

Leadership

School principals are daily faced with many decisions involving conflicting choices. Often, the choices are between investing time, energy and resources in a task or in people. The **Leadstyle** instrument provides two modes with four aspects each of examining how leaders can respond to the choice

dilemma: in a transactional way, meaning to focus on an exchange which maintains an existing system, or, in a transformational way, meaning to enter into new ways of dealing with both people and tasks. A schematic of the **Leadstyle** framework is provided at page 11, Figure 1.

The two **Leadstyles** are linked. Transactional leadership types are Driver, Persuader, Supporter, and Analyst. Transformational leadership types are Catalyst, Visionary, Empowerer, and Strategist. The most frequently occurring Transactional **Leadstyle** in this study is Supporter, high on relationship, low on task. No one Transformational **Leadstyle** emerged because, as indicated in another section of this study, Transformational **Leadstyles** occur simultaneously rather than sequentially like Transactional **Leadstyles**.

As a power actor in both school and community, principals serve both a boundary role and a change agent function. In the boundary role, they must understand both community and school needs, and communicate these to each constituency, without alienating either. In the linked change agent role, the principal serves as a prime innovator or at least bearer of new ideas, as well as facilitator and resource person to make change happen.

This strand focuses on task and relationship aspects of the organization's work. Task refers to the product of the work group's efforts. In the case of the present study, the product was a document to be produced by each school's staff,

which would prove the school's academic effectiveness. The principal's role in the transactional mode was to function in such a way as to get the document produced quickly and accurately, and still maintain a good instructional climate in the opening month of school. The dominant **Leadstyle** displayed by the majority of surveyed principals reflected such emphases. The **Supporter Leadstyle** is high on relationship and low on task, but presumably not so low as to not produce a product. The task/product dimension is balanced by the relationship/process dimension.

The surveyed principals' responses to the survey and/or the personal interview questions, when taken together with the responses of the principals' "other" subgroups, demonstrate discernable patterns. There was majority agreement on the "Supporter" transactional leadership style as being preferable among elementary school principals; there was majority agreement on lack of effects of Blocker behaviors; though limited, there was evidence of the convergence of perception regarding four-square transformational leadership. Tables 7A through 7D demonstrate the relationships between low- and high-variation scoring by self and other subgroups, when comparing scores between Transactional and Transformational leadership styles: where there is low variation, there is convergence of perceptions, and where there is high variation, there is divergence of perceptions.

Personal Style

Drawing heavily on the **Myers-Briggs Type Indicator**, the **Leadstyle** instrument allows an examination of how leaders deal with the concept and process of change. As detailed previously, change does not come easily. Individuals and organizations resist change, fearing loss of status and power. The **Leadstyles** shown in Figure 1 reveal four ways of handling exchanges, or simple transactions. These are as a Driver, a Persuader, a Supporter and an Analyst. Each way incorporates and reflects unique perceptions of how the world operates and how individuals must respond to the world. Each Transactional **Leadstyle** incorporates varying degrees of task behavior and relationship behavior, depending on where it is located on the **Leadstyle** grid.

Beyond simple transactions, if the desire is to move the organization and its members to higher levels of functioning in the world and among themselves, **Leadstyle** offers transformational ways of doing so. The four Transformational **Leadstyles** are Catalyst, Visionary, Empowerer, and Strategist. Again, each offers not only unique perceptions of the world's potential for growth, but also unique combinations of task and relationship. In this case, though, the leadership responses do not occur in isolation from each other or even by building on each other; rather, the Transformational **Leadstyles** occur simultaneously, creating the unique four-square event. Again, the emphasis is on seeking the balance between the leader's

strengths and limitations.

Group Productivity

Building on the above two strands, Leadership and Personal Style, this strand considers how **Leadstyle** functions in the daily life of schools. The following discussion is based largely on materials found in the interpretive manual for **Leadstyle**.¹⁷

As the work group of teachers, staff, administration and on occasion parents coalesces around an issue, or task, the group phenomenon called "forming" takes place. The group must focus almost exclusively on the desired product. The group resides in the High Task, Low Relationship quadrant of **Leadstyle**. The preferred transactional leadership style is Driver, who pulls the group from the status quo, and prepares it to move along in the process.

The next stage is called "storming." The work group is best led by the transactional leadership of the Persuader, who helps it see beyond the present moment and forces it to experience the conflicts of the storming period. The group is in the High Task, High Relationship quadrant of **Leadstyle**.

The third stage is led by the transactional leadership style of the Supporter. This is where most of the surveyed principals' strengths resided. It is in the High Relationship, Low Task **Leadstyle** quadrant, where getting along and seeking

¹⁷Larry Hutchins and Lyn Hutchins, Leadstyle: Transforming the Future. (Aurora, CO, published by authors: 1988), 19-37.

group consensus are the group norms of behavior. It is called the "norming" period, and support rather than critiques are needed as the group prepares to move into its final stage--final stage for this problem, at least.

The last phase of group work for this problem is called "performing" and the group relies heavily on the transactional leadership style of the Analyst. The focus is on maintenance of effort to get the job done with minimal disruption. Clearly, this phase provides the prelude to reactivating the whole process around a new "problem" or change order.

The **Leadstyle** instrument offers leaders the opportunity to adapt their identified, dominant Transactional style to the needs of their particular work group. If a principal has one dominant **Leadstyle**, yet finds through analysis of the work group's change stage that it is at a stage needing a different **Leadstyle**, the instrument offers suggestions for ways to turn limitations into strengths.

Change in Schools

As the person on the leading edge, the principal plays pivotal roles as change agent and boundary role person. Each principal in the interviewed group had a good grasp of where his/her work group was located in the change process, and was prepared to lead it. Through the analysis of "other" scores, it was also evident the principals' "other" groups knew the principals' locations, too: **Supporter Leadstyle** was their dominant choice as well.

CHAPTER IV

SUMMARY, CONCLUSIONS, AND SUGGESTIONS FOR FURTHER STUDY

A. Restatement of the Problem

This study was conducted within a national context of seeking a formula for effective schools, with an emphasis on leadership as the key factor in producing school effectiveness through innovation and change.

Using a training model and instrument, and with participation in a national competition as the criterion for selection into the study, this study sought to identify which of four specific leadership styles would occur most frequently. The participants were elementary principals from selected Wisconsin schools.

B. Restatement and Summary of Research Procedures

Twenty Wisconsin elementary school principals were selected for participation in the study . The criterion for their selection was their prior participation in the National Elementary School Recognition Program, in one of three years: 1985, 1987, or 1989.

A survey instrument, **Leadstyle**, was distributed to all twenty principals. Each had to complete one for him- or herself, plus ask four other work colleagues to also complete the same form. The form contains seventy-six questions and is computer scored. Results are in the form of a sheet of results divided into four quadrants, each one labeled a **Leadstyle**. There are four Transactional **Leadstyles** and four Transformational **Leadstyles**, plus a Blocker score and a total Transformational score.

Following the return and scoring of thirteen surveys, six principals were selected for an hour-long interview.

C. Principal Findings and Conclusions

Seven conclusions emerge from this study of elementary principals' leadership styles.

- The most frequently occurring Transactional **Leadstyle**--TA--is the Supporter.

In an organizational system like a school, this is not a surprising development. Teachers are trained professionals who often must function in their own rooms much as principals function in the school as a whole: maintaining order to create and enhance a learning climate, allocating resources among contending groups, enforcing reward systems, and working with parents and other staff for the common good. In circumstances such as these, it is logical for the Supporter TA to be most frequently chosen. Eleven of thirteen principals self-selected Supporter and nine of thirteen of the principals' others

selected it as well. The principal, as a change agent and acting in the Supporter role, wants everyone to work for the same goal and seeks to allay interpersonal stress which may derail change possibilities. Participation in the Recognition Program would have been less successful had the principals sought to function as anything but Supporter.

- The Driver TA was the least frequently occurring.

Its characteristics are in the opposite quadrant from the Supporter TA. Driver traits are that it is high-task and low-relationship. Drivers are movers who want to accomplish change, now. The Driver TA, though chosen by three interviewed principals as their perceived dominant TA for self and by two for other, was nevertheless not a dominant TA for any one of the thirteen surveyed principals. It can be concluded that, in general, characteristics of the Driver leadership style will not be found among effective elementary principals.

- The principal functions at the boundary of the school system.

That is, he/she acts to educate parents and non-consumers of public school education--which latter group is in the majority and contributes much to the financial well-being of school districts--about what reasonably can be expected from schools. Also, the principal, acting as an effective boundary person, channels parent participation in

the school system into positive streams, and acts to disarm vocal critics of public education. The boundary person has multiple constituencies, and the Supporter TA fits best the low-task, high-relationship role which seeks to deal with how separate groups feel about proposed or pending change. Thus it can be concluded that characteristics of the Supporter TA will be found among effective elementary principals.

Some further thoughts about the boundary role of the elementary principal are that he/she acts as a go-between for "opposing" groups, or constituencies, which often hold conflicting values. The principal, acting as a transactional leader, may initiate change, push for its implementation, see it continue over time, and monitor the outcome or the degree of school improvement relative to certain criteria. The change process is itself a transformational one, with active roles played by the principal as building leader.

- The principal is a leader in the change process.

Using Hall's three-part analysis of the change facilitation role of the principal--Initiator, Manager, Responder--it will be remembered that the first two principal roles show higher change implementation than the third. Using also the interviewed principals' remarks about the change process, it can be concluded from the interview sample that in half the cases where a principal initiates a change like the Recognition Program, then positive, growthful change is more likely to occur in the building.

- Change occurred and was transformed in the process by the role of the principal.

Even though interviewed principals were not successful in identifying their own TFs, and perhaps because "prophets are not recognized in their own land"--maybe not even by themselves--yet, Maruyama's deviation - amplifying concept predicts this. Perhaps an authentically-operating transformational leader will escape the notice of both self and other; yet change occurred in all interviewed principals' schools. By inference, change occurred in all surveyed schools because of Program participation, and affected how central office, staff, and parents perceived change occurring through the principal.

- The Blocker factor had no impact on Recognition Program participation.

As shown above, even in extreme cases of divergence between self and other over Blocker scores, countervailing convergent scores more than made up for these. Blocker is an oddity, giving the change process pause to study the proposed change to be sure it is needed and wanted.

- There are important interrelationships between Transactional and Transformational Leadstyles.

The data from the analyses of Transactional and Transformational Leadstyles, plus from the personal interviews, show these interrelationships. Leadstyle is a useful tool for preservice training and screening of principals, focusing as it does on differing types of leadership style plus dimensions of group dynamics.

No conclusions can be drawn about the cases of the female principals. The results were often conflicting, as in the mixed other Driver score variations--a negative result--and the low other variation for all subgroups for half of the female principals--a positive result.

Overall, the interview process revealed that the participating principals maintained, and successfully communicated, a positive, upbeat outlook to their staffs, central office, and parents. These principals behaved like effective site-based managers, yet going beyond mere management to true leadership. They utilized modern theories of participation and involvement of stakeholders.

D. Suggestions for Further Study

Based on the conclusions of this exploratory study, several recommendations for further research are suggested.

- Seek ways to determine if the Supporter Transactional Leadstyle is the most effective for instructional leadership and change. If another leadership style--Persuader, Driver, Analyst--is found to be more effective, how can the Leadstyle instrument be used most efficiently as a training tool for principals? Additionally, seek to learn, through replication, if Driver characteristics consistently appear least often.

- Study the boundary role of the principal , especially as exemplified in leadership and change agent roles.

- Using data such as those generated by this study, seek to determine how qualitative participation by stakeholders may lead to behavior change.

- Using **Leadstyle**, explore the impact of the Blocker factor on the change process. Is Blocker an indicator of adaptability or flexibility?

These suggestions for further research will enhance and expand our understanding of the complex and rewarding field of school leadership.

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APPENDIX A
LEADSTYLE QUESTIONNAIRE

LEADSTYLE

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You have been asked by _____, the subject, to provide feedback on behaviors or characteristics that he or she frequently exhibits. The information you provide by using this checklist will help improve his or her effectiveness in working with others. Your responses will remain confidential. The person you are describing will not be shown the responses you make. Because several people are completing the same checklist on the same person, the information he or she gets back will reflect the combined feedback of all those completing the checklist; no individual responses will be returned. (Any codes appearing on the checklist are only used so that all the checklists for the same subject can be grouped together. There is no cross/check system to identify the person completing the checklist.)

To insure your anonymity you are asked to complete the checklist within one or two days of the time it is given to you and to send it in the envelope provided directly to the organization that will score the responses. Please send your completed checklist in the envelope provided to:

LEADSTYLE, 2065 South Newark Way, Aurora, Colorado 80014.

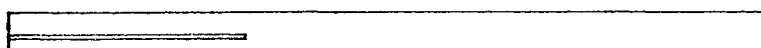
APPENDIX B
COMPUTER-GENERATED SURVEY RESULTS

LEADSTYLE

FOR

PRINCIPAL A

Blocker



0 31

TRANSACTIONAL
LEADER

Supporter

Persuader

50 87

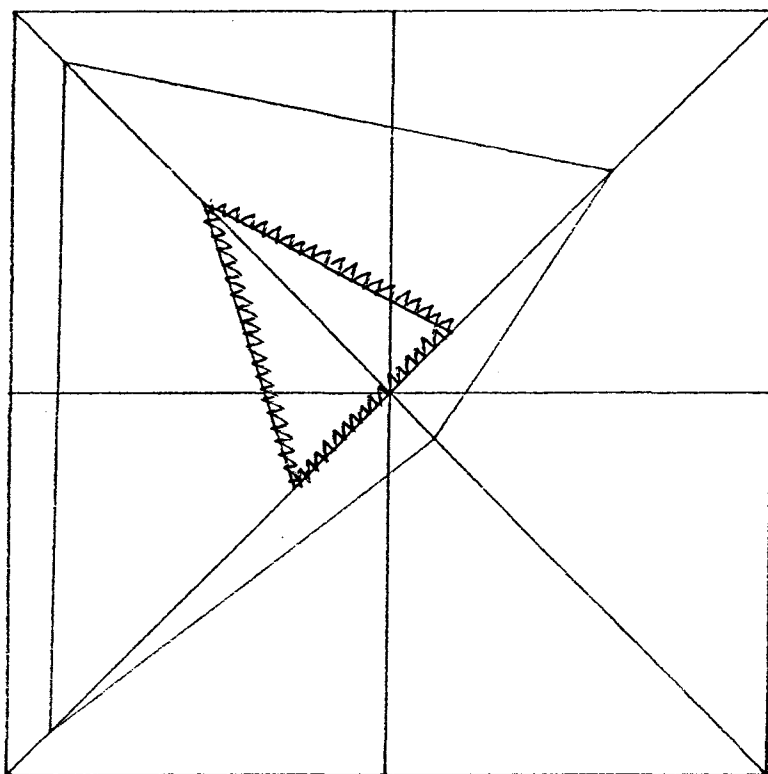
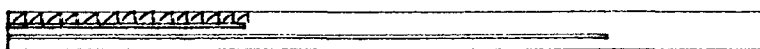
16 58

Analytic

Driver

25 89

0 12

TRANSFORMATIONAL
LEADER

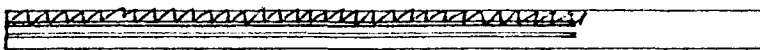
(T) 31 79

Empowerer



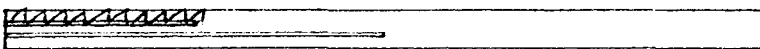
(S) 25 93

Strategist



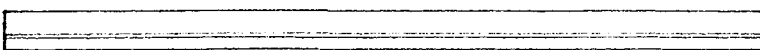
(A) 75 75

Visionary



(P) 25 50

Catalyst



(D) 0 100

~~~~~ Self

\_\_\_\_\_ Others

# LEADSTYLE

129

## FOR PRINCIPAL B

Blocker



25 24

TRANSACTIONAL  
LEADER

Supporter

Persuader

91 56

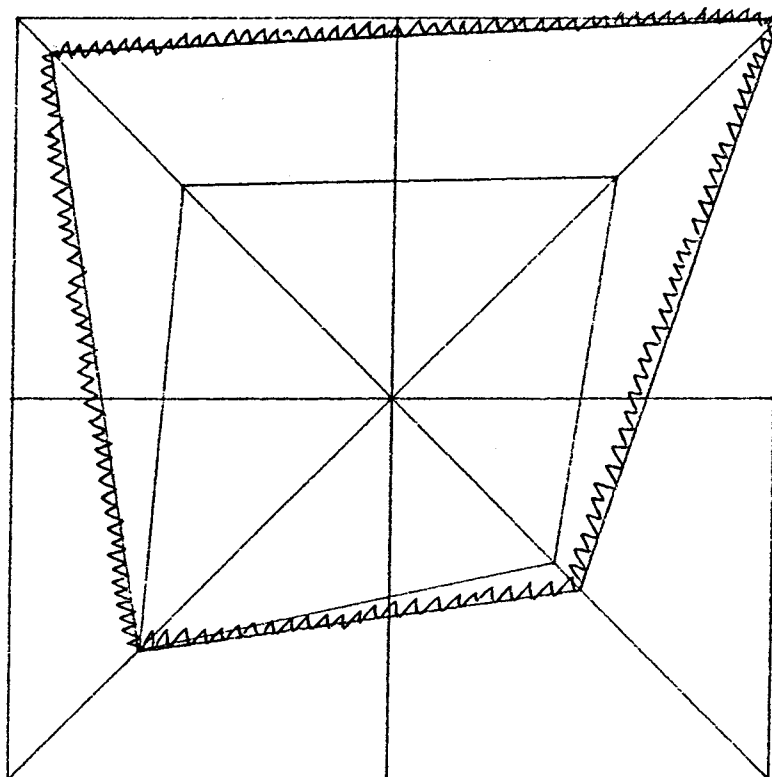
100 58

Analytic

Driver

66 66

50 43

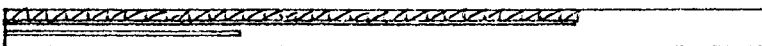


TRANSFORMATIONAL  
LEADER



(T) 93 57

Empowerer



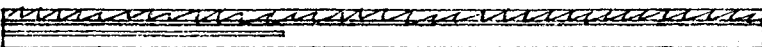
(S) 75 31

Strategist



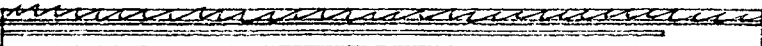
(A) 100 75

Visionary



(P) 100 37

Catalyst



(D) 100 87

Self

Others

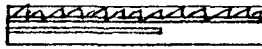


# LEADSTYLE

130

## FOR PRINCIPAL C

Blocker



33 20

TRANSACTIONAL  
LEADER

Supporter

Persuader

91 93

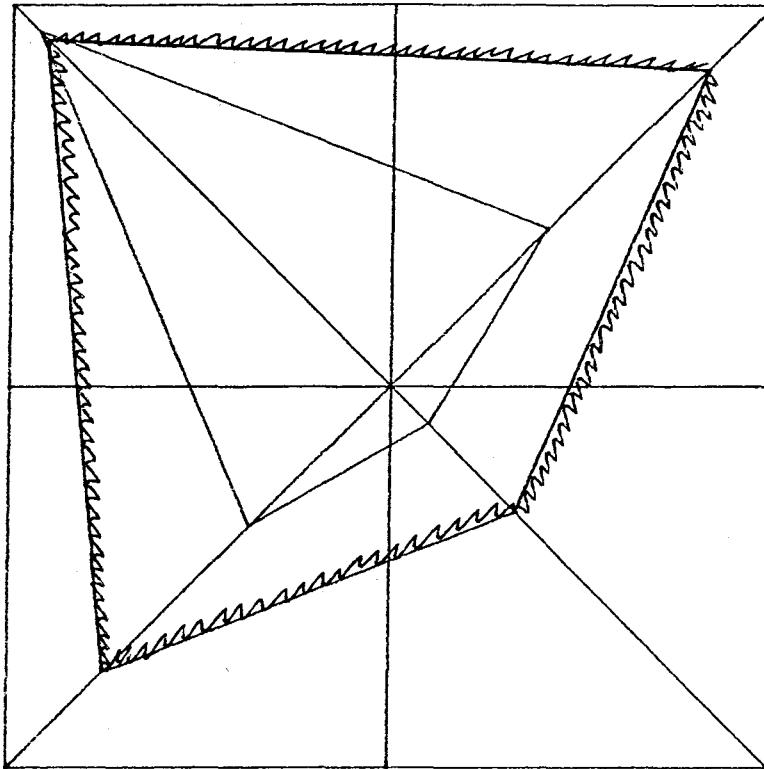
83 41

Analytic

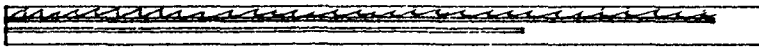
Driver

75 37

33 10



TRANSFORMATIONAL  
LEADER



(T) 93 68

Empowerer

(S) 75 81

Strategist

(A) 100 50

Visionary

(P) 100 68

Catalyst

(D) 100 75

Self

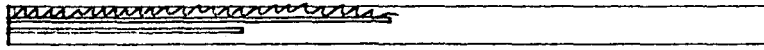
Others

# LEADSTYLE

131

## FOR PRINCIPAL D

Blocker



50 31  
Self Others

TRANSACTIONAL  
LEADER

Supporter

Persuader

100 83  
Self Others

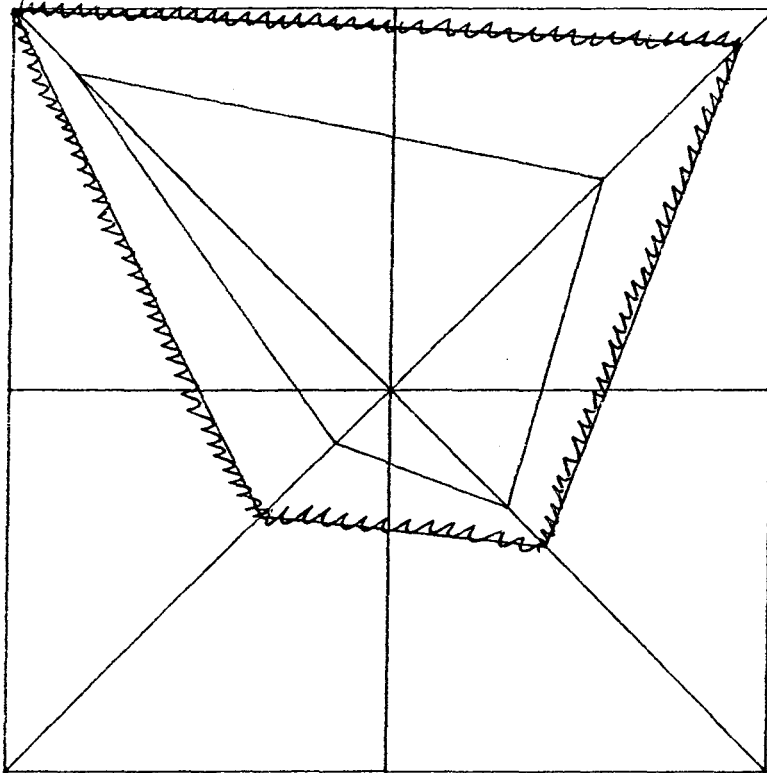
91 55  
Self Others

Analytic

Driver

33 14  
Self Others

41 31  
Self Others



TRANSFORMATIONAL  
LEADER



(T) 68 46  
Self Others

Empowerer



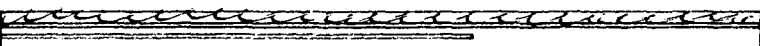
(S) 100 62  
Self Others

Strategist



(A) 50 31  
Self Others

Visionary



(P) 100 62  
Self Others

Catalyst



(D) 25 31  
Self Others

Self

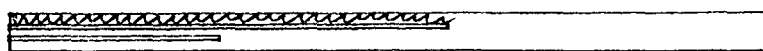
Others

# LEADSTYLE

132

## FOR PRINCIPAL E

Blocker



58 28

TRANSACTIONAL  
LEADER

Supporter

Persuader

91 85

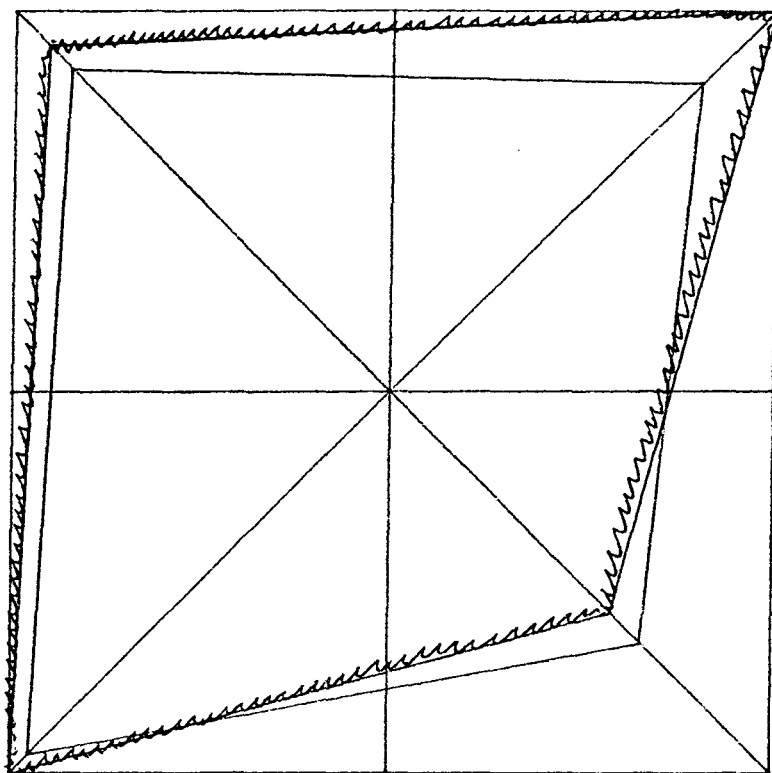
100 81

Analytic

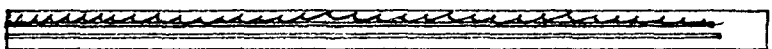
Driver

100 95

58 66

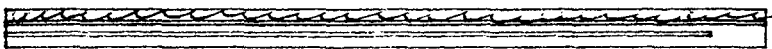


TRANSFORMATIONAL  
LEADER



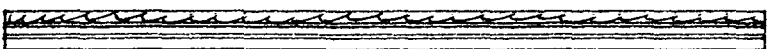
(T) 93 94

Empowerer



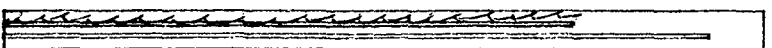
(S) 100 93

Strategist



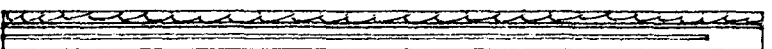
(A) 100 100

Visionary



(P) 75 93

Catalyst



(D) 100 93

Self

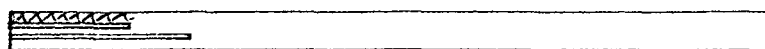
Others

# LEADSTYLE

133

## FOR PRINCIPAL F

Blocker



16 24

TRANSACTIONAL  
LEADER

Supporter

Persuader

91 85

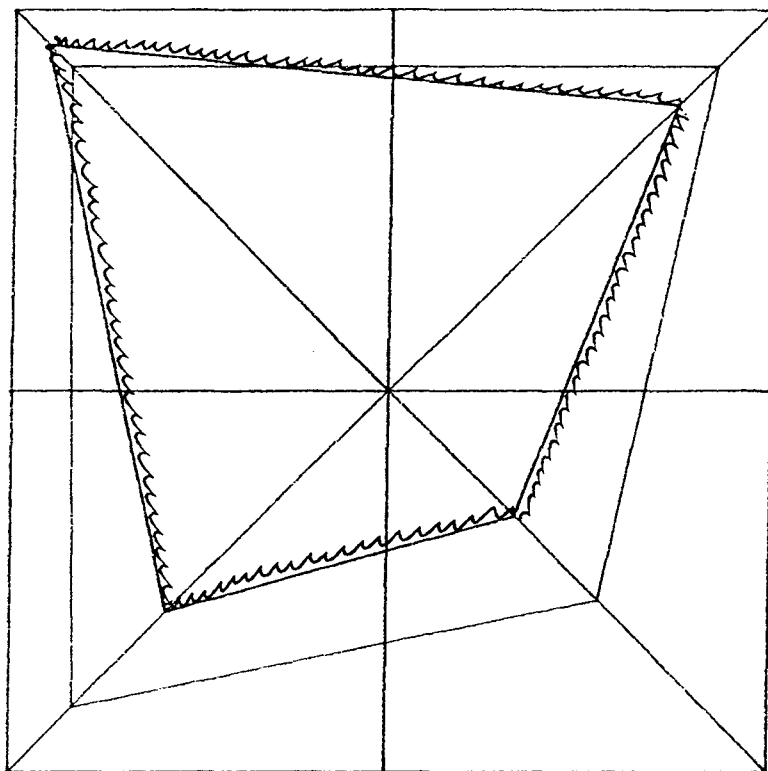
75 85

Analytic

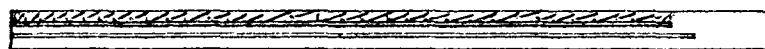
Driver

58 83

33 55

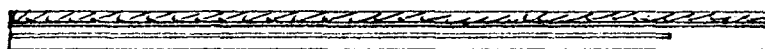


TRANSFORMATIONAL  
LEADER



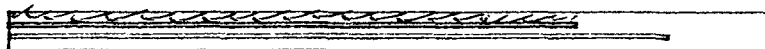
(T) 87 90

Empowerer



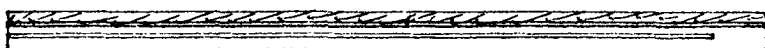
(S) 100 87

Strategist



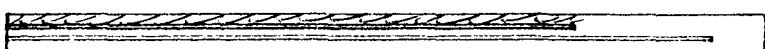
(A) 75 87

Visionary



(P) 100 93

Catalyst



(D) 75 93

Self

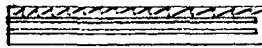
Others

# LEADSTYLE

134

## FOR PRINCIPAL G

Blocker



33

33

TRANSACTIONAL  
LEADER

Supporter

Persuader

91

83

25

62

Analytic

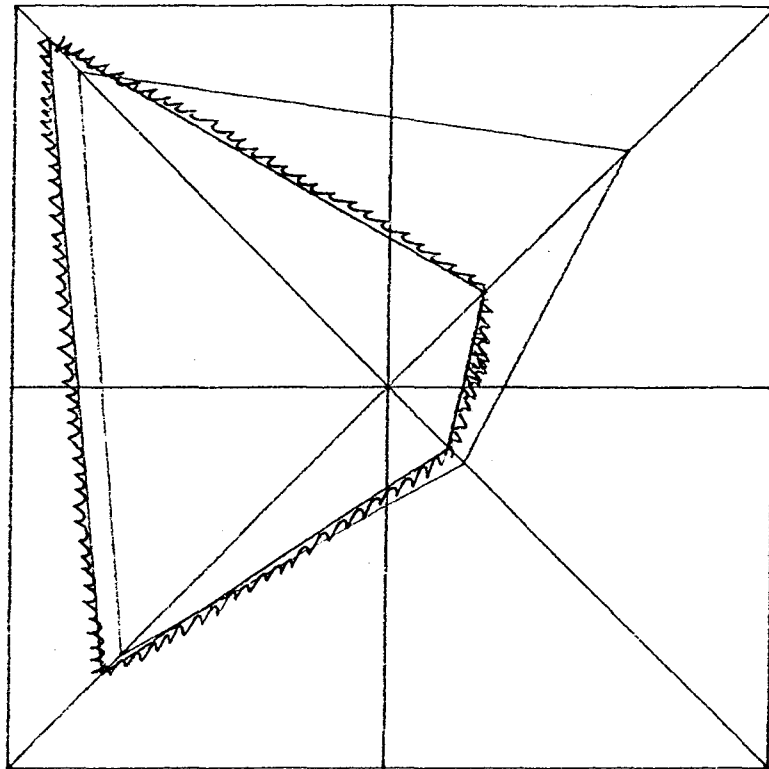
Driver

75

70

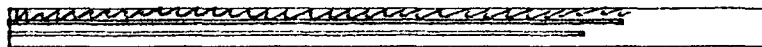
16

20



TRANSFORMATIONAL  
LEADER

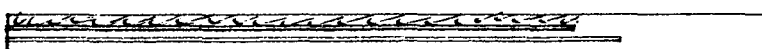
Empowerer



(T) 81

76

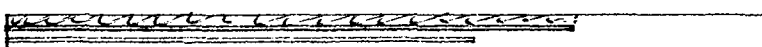
Strategist



(S) 100

81

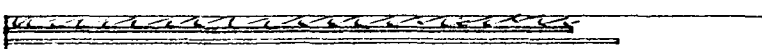
Visionary



(A) 75

81

Catalyst



(P) 75

62

(D) 75

81

Self

Others

# LEADSTYLE

135

## FOR PRINCIPAL H

Blocker



25

26

TRANSACTIONAL  
LEADER

Supporter

Persuader

83

83

58

55

Analytic

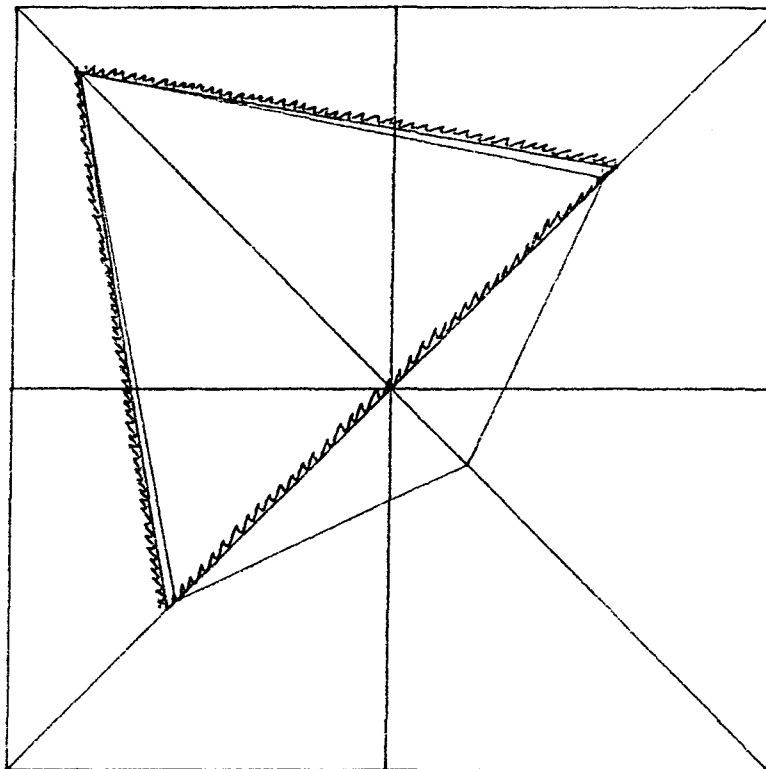
Driver

58

56

0

20



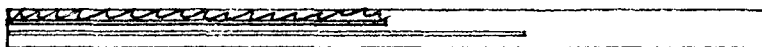
TRANSFORMATIONAL  
LEADER



(T) 62

68

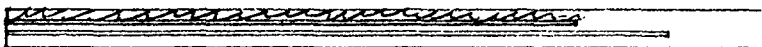
Empowerer



(S) 50

68

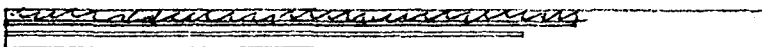
Strategist



(A) 75

87

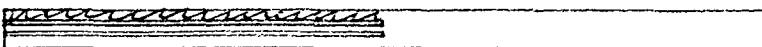
Visionary



(P) 75

68

Catalyst



(D) 50

50

Self

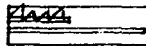
Others

# LEADSTYLE

136

## FOR PRINCIPAL I

Blocker



8

18

TRANSACTIONAL  
LEADER

Supporter

Persuader

91

43

50

49

Analytic

Driver

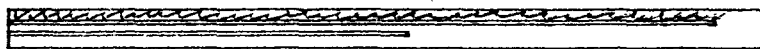
66

64

16

37

TRANSFORMATIONAL  
LEADER



(T) 93

53

Empowerer

(S) 100

18

Strategist

(A) 75

68

Visionary

(P) 100

50

Catalyst

(D) 100

75

Self

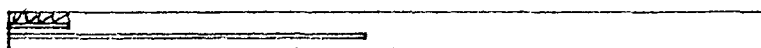
Others

# LEADSTYLE

137

## FOR PRINCIPAL J

Blocker



8 47

TRANSACTIONAL  
LEADER

Supporter

Persuader

83 77

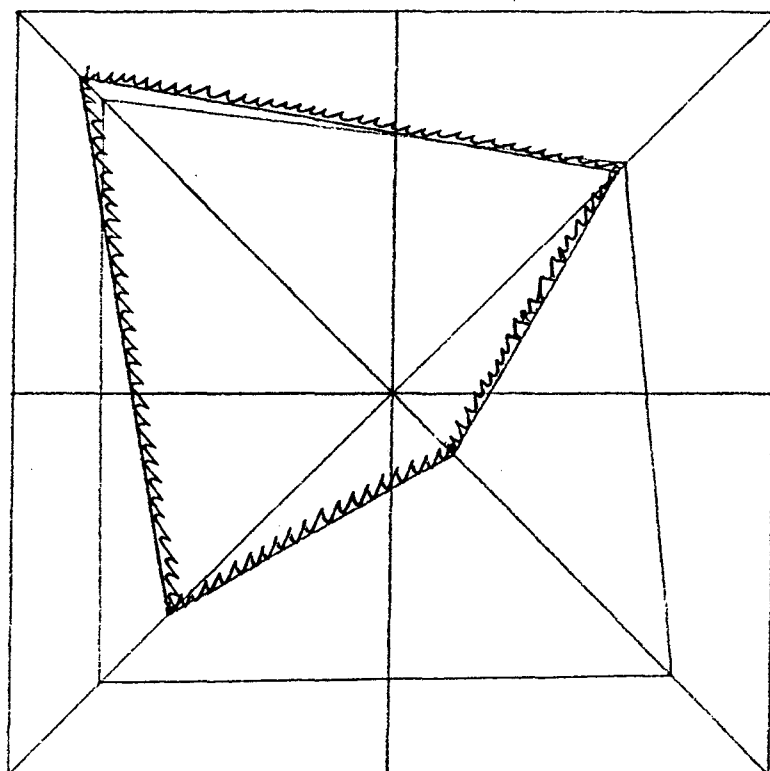
58 60

Analytic

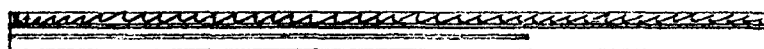
Driver

58 76

16 74

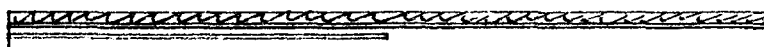


TRANSFORMATIONAL  
LEADER



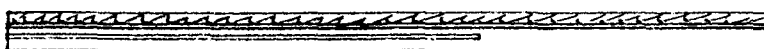
(T) 100 68

Empowerer



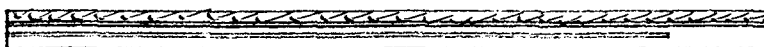
(S) 100 50

Strategist



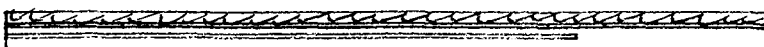
(A) 100 62

Visionary



(P) 100 87

Catalyst



(D) 100 75

Self

Others

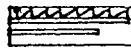


# LEADSTYLE

138

## FOR PRINCIPAL K

Blocker



16 12  
~~~~~

TRANSACTIONAL
LEADER

Supporter

Persuader

91 78
~~~~~

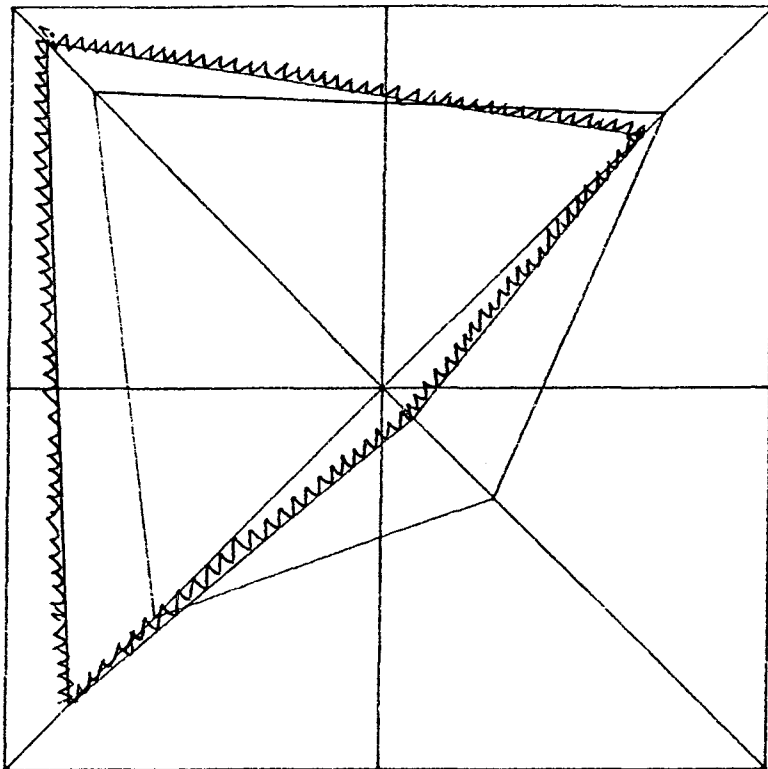
66 72  
~~~~~

Analytic

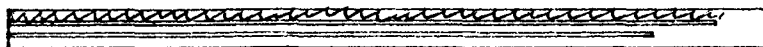
Driver

83 60
~~~~~

8 29  
~~~~~

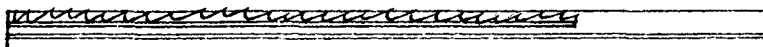


TRANSFORMATIONAL
LEADER



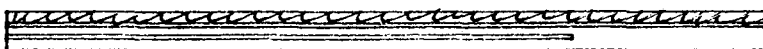
(T) 93 85
~~~~~

Empowerer



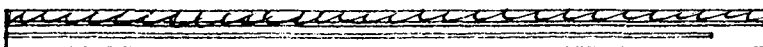
(S) 75 100  
~~~~~

Strategist



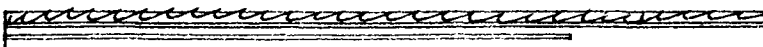
(A) 100 75
~~~~~

Visionary



(P) 100 93  
~~~~~

Catalyst



(D) 100 75
~~~~~

~~~~~ Self

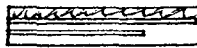
_____ Others

LEADSTYLE

139

FOR PRINCIPAL I.

Blocker



25

18

TRANSACTIONAL
LEADER

Supporter

Persuader

91

82

41

70

Analytic

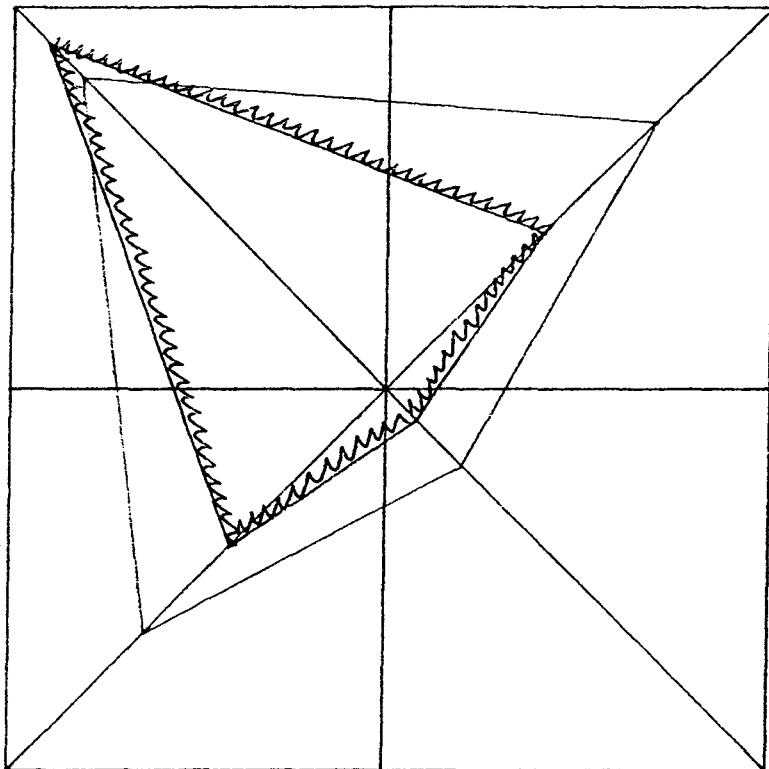
Driver

41

64

8

20

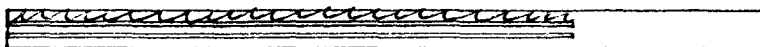


TRANSFORMATIONAL
LEADER



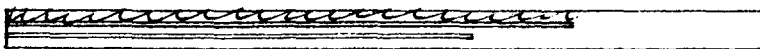
(T) 62 79

Empowerer



(S) 75 75

Strategist



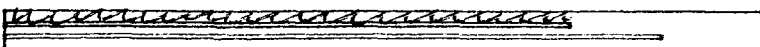
(A) 75 62

Visionary



(P) 25 93

Catalyst



(D) 75 87

Self

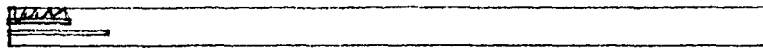
Others

LEADSTYLE

140

FOR
PRINCIPAL M

Blocker



8

13

Wavy pattern

TRANSACTIONAL
LEADER

Supporter

Persuader

75

69

58

58

Wavy pattern

Wavy pattern

Analytic

Driver

75

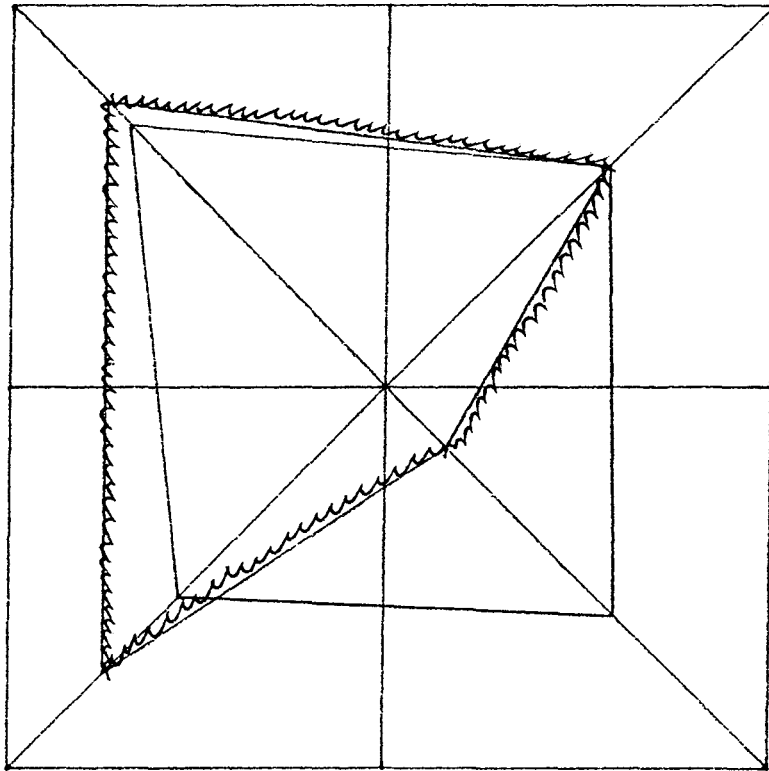
55

16

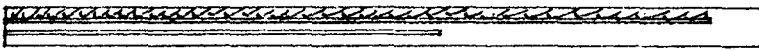
60

Wavy pattern

Wavy pattern



TRANSFORMATIONAL
LEADER

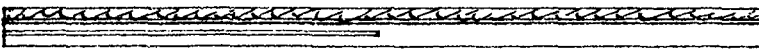


(T) 93

58

Wavy pattern

Empowerer

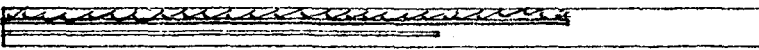


(S) 100

50

Wavy pattern

Strategist

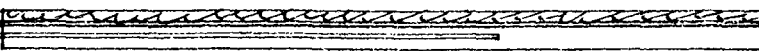


(A) 75

58

Wavy pattern

Visionary

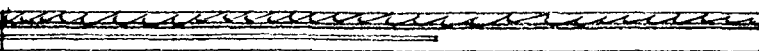


(P) 100

66

Wavy pattern

Catalyst



(D) 100

58

Wavy pattern

Wavy pattern Self

____ Others

APPENDIX C
INTERVIEW QUESTIONNAIRE

INTERVIEW QUESTIONNAIRE

A. Professional / Personal

1. Age 30 or less/ 31-40/ 41-50/ 50 or more
2. Sex male or female
3. Years as principal
4. Years here as principal
5. Degree Highest degree attained MA/ MS/ ES/ PhD/ EdD/
6. Assistant Principal or Unit Leader in your building?
7. Task Why hired as principal? Was a specific central office task defined for you in your present position?
8. Professional organizations
 - a. which ones you belong to
 - b. which are you active in and how?
9. Factors List up to three factors:
 - a. enabling you to be an effective principal
 - b. which are obstacles to your effectiveness as principal

B. Recognition Program (ESRP) Participation

10. Level of involvement
 - a. where did the idea to participate originate?
 - b. what was your role in getting the program going, once the decision to participate had been made?
 - c. what groups were involved internally / externally in the program? Teachers? Parents? Students? Community members? Others?
11. Climate for Change
 - a. what is the climate for change in your district? (i.e., favorable, unfavorable or indifferent?)
 - b. at the time of participation, what were some conditions in your district which facilitated program involvement?
 - c. what were some conditions which seemed to thwart program involvement?
 - d. was there resistance to program involvement by any group? (teachers? parents? students? community?) If yes, why do you think this was so?
 - e. are there other exemplary programs in your district? have there been efforts to document and seek recognition for these programs?
12. Outcomes Resulting From Program Participation
 - a. what were the intended long-term and short-term goals your participation? (e.g., improve district bond rating, improve chances for demonstration grant approval, improve staff development, increase chances of becoming a model or a magnet, increase community involvement in the schools, develop new teaching skills, improve student achievement, a way to phase in other innovations, a way to establish a method for renewing and evaluating ongoing efforts, other)

- b. what unintended side effects occurred, if any, and were they positive or negative?
- c. did your participation result in any policy changes in your school or district? If yes, how were these changes perceived by staff? Did they understand the link between program participation and the resultant changes?
- d. were there any problems as a result of participation? If yes, how were they addressed?
- e. what changes, if any, in your school are directly attributable to program participation? (e.g., staff additions or nonrenewals, changes in school climate or staff morale, changes in teacher efficacy (feeling of power), changes in efficiency, student/ parent/community changes), Other?

13. Your Role as Change Agent

- a. How do you make change happen in your school?
- b. How do you communicate your vision for your school, to both internal and external audiences?
- c. how does staff act on your vision?
- d. is there anything unique in your experience that may create expectations of you by staff or others which are different from those held for other principals? (e.g., age, sex, years as a principal, unusual background, etc.)

C. Leadership Style

This is the subject of the research. We may say there are Transactional leaders and Transformational leaders.

Transactional leadership is defined as one person taking the initiative in making contact with others for the purpose of an exchange of valued things. Four styles of transactional leadership as used in this study are defined When done reading, you'll be asked to select the one most like you.

Driver- accepts change and wants to get going with it

Persuader- an advocate for change

Supporter- doesn't advocate for or oppose change but wants everyone to be together on whatever course is chosen

Analyst- doesn't oppose change but wants to be sure it is needed and that the direction is correct.

14. Which of the above-listed leadership styles is most like you? D___ P___ S___ A___
Which would your staff say is most like you?
D___ P___ S___ A___

Transformational leadership is defined as one or more persons engaging with others in such a way that leaders and followers raise one another to higher levels of motivation and morality. Four styles of transformational leadership are used in this study, related to the transactional types previously defined. Again, you will be asked to select the one which most describes you.

Catalyst (Driver)- catalyzes the work of others; understands that no one controls alone

Visionary (Persuader)- understands that organizations change as conditions change; a continual revision of goals

Empowerer (Supporter)- focus on human development and empowerment

Strategist (Analyst)- focus on strategic planning, human systems, trend analysis.

15. Which of the above-listed transformational leadership is most like you? C___ V___ E___ S___
Which would your staff say is most like you?
C___ V___ E___ S___

There can also be another type of actor in the change act: a Blocker, someone who is not convinced that change is necessary and can actively resist change. They are satisfied with the status quo and fear change may cause them to lose what they have. They may be right about change: it is not always desirable.

16. Do you see yourself as a Blocker ?
Do you think your staff would see you as a Blocker?
17. What are challenges that now face your school? Are there items which were brought up by your participation in the Recognition program which must now be addressed, which might not have been brought out under the normal course of events?

APPENDIX D

**TRANSACTIONAL LEADSTYLE SURVEY RESPONSES,
EXPRESSED AS PERCENTAGES FOR SELF AND OTHER**

Transactional **Leadstyle** Survey Responses,
Expressed as Percentages for Self and Other. 1

| Self | | | | Principal | Other | | | |
|--------|------|------|---------|-----------|--------|------|------|---------|
| Driver | Pers | Supp | Analyst | | Driver | Pers | Supp | Analyst |
| 0 | 16 | 50 | 25 | A | 12 | 58 | 87 | 89 |
| 50 | 100 | 91 | 66 | B * | 43 | 58 | 56 | 66 |
| 33 | 83 | 91 | 75 | C | 10 | 41 | 93 | 37 |
| 41 | 91 | 100 | 33 | D | 31 | 55 | 83 | 14 |
| 58 | 100 | 91 | 100 | E * | 66 | 81 | 85 | 95 |
| 33 | 75 | 91 | 58 | F | 55 | 85 | 85 | 83 |
| 16 | 25 | 91 | 75 | G * | 20 | 62 | 83 | 70 |
| 0 | 58 | 83 | 58 | H * | 20 | 55 | 83 | 56 |
| 16 | 50 | 91 | 66 | I | 37 | 49 | 43 | 64 |
| 16 | 58 | 83 | 58 | J * | 74 | 60 | 77 | 76 |
| 8 | 66 | 91 | 83 | K | 29 | 72 | 78 | 60 |
| 8 | 41 | 91 | 41 | L | 20 | 70 | 82 | 64 |
| 16 | 58 | 75 | 75 | M * | 60 | 58 | 69 | 55 |

1. Each number refers to the percent of a quadrant filled for the given **Leadstyle**. Percentages will not total 100 because each quadrant is considered separately.

APPENDIX E

**TRANSFORMATIONAL LEADSTYLE SURVEY RESPONSES,
EXPRESSED AS PERCENTAGES FOR SELF AND OTHER**

Transformational **Leadstyle** Survey Responses,
Expressed in Percentages for Self and Other. 1

| Self | | | | | Other | | | |
|-------|--------|---------|-------|-------|-------|--------|---------|-------|
| Catal | Vision | Empower | Strat | Princ | Cat | Vision | Empower | Strat |
| 0 | 25 | 25 | 75 | A | 100 | 50 | 93 | 75 |
| 100 | 100 | 75 | 100 | B * | 87 | 37 | 31 | 75 |
| 100 | 100 | 75 | 100 | C | 75 | 68 | 81 | 50 |
| 25 | 100 | 100 | 50 | D | 31 | 62 | 62 | 31 |
| 100 | 75 | 100 | 100 | E * | 93 | 93 | 93 | 100 |
| 75 | 100 | 100 | 75 | F | 93 | 93 | 87 | 87 |
| 75 | 75 | 100 | 75 | G * | 81 | 62 | 81 | 81 |
| 50 | 75 | 50 | 75 | H * | 50 | 68 | 68 | 87 |
| 100 | 100 | 100 | 75 | I | 75 | 50 | 18 | 68 |
| 100 | 100 | 100 | 100 | J * | 75 | 87 | 50 | 62 |
| 100 | 100 | 75 | 100 | K | 75 | 93 | 100 | 75 |
| 75 | 25 | 75 | 75 | L | 87 | 93 | 75 | 62 |
| 100 | 100 | 100 | 75 | M * | 58 | 66 | 50 | 58 |

* Interviewed

1. Each number refers to the percent of a quadrant filled for the given **Leadstyle**. Percentages will not total to 100% because each quadrant is considered separately.

APPENDIX F

AUTHOR'S PERMISSION TO REPRINT
LEADSTYLE QUESTIONNAIRE

December 16, 1991

Mr. Paul J. Mack

Re: **Leadstyle**
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Dear Mr. Mack,

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Sincerely,



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APPROVAL SHEET

The dissertation submitted by Paul Jeffrey Mack has been read and approved by the following committee:

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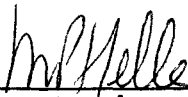
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The final copies have been examined by the Director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

November 30, 1992
Date


Director's Signature